



## Federal Implementation Guideline for Electronic Data Interchange

### ASC X12 003060 Transaction Set 194 Grant or Assistance Application

#### Implementation Convention



U.S. DEPARTMENT OF COMMERCE  
Technology Administration  
National Institute of  
Standards and Technology



# **Federal Implementation Guideline for Electronic Data Interchange**

## **ASC X12 003060 Transaction Set N194 Grant or Assistance Application**

### **Implementation Convention**

Electronic Commerce Acquisition Program Management Office  
Standard Management Committee - Secretariat  
National Institute of Standards and Technology  
Gaithersburg, MD 20899-0001

Editor: Dr. Jean-Philippe Favreau

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**U.S. DEPARTMENT OF COMMERCE**  
**William M. Daley, Secretary**

**Technology Administration**  
**Mary L. Good, Under Secretary for Technology**

**National Institute of Standards and Technology**  
**Robert E. Hebner, Acting Director**

## **Reports on Information Technology**

The National Institute of Standards and Technology (NIST)'s Information Technology Laboratory (ITL) develops standards and guidelines, provides technical assistance, and conducts research for computers and resources. As part of the overall federal effort to establish a single face to industry for conducting electronic commerce, ITL has been designated as the organization responsible for coordinating the development of Federal Implementation Conventions (ICs) for Electronic Data Interchange (EDI). ICs are defined by functional-area experts who create and select options from standard EDI Transaction Sets to yield the implementations to be used for practical EDI. These ICs are made available to federal agencies and industry by electronic means and this Special Publication Series.

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# 194 Grant or Assistance Application

Functional Group ID=GT

## Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Grant or Assistance Application Transaction Set (194) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used by organizations submitting applications for grants, cooperative agreements, and other assistance. These applications will typically include project, budget, personnel, descriptive, and other related data.

## Notes:

1. Organizations use this transaction set to submit a Grant or Assistance Application to a Federal Agency. This application may be in the form of an unsolicited proposal, or a response to a general announcement, a specific agency request, or an annual solicitation.
2. Federal Agencies use this transaction set to respond with proposed or approved budgets.
3. A single transmission of this transaction set shall be used to submit the application or budget for one project only.
4. In this convention, the term grant includes: grant award, research contract, and cooperative agreement.

## Heading:

|               | Pos.<br>No. | Seg.<br>ID | Name                                  | Req.<br>Des. | Max.Use | Loop<br>Repeat | Notes and<br>Comments |
|---------------|-------------|------------|---------------------------------------|--------------|---------|----------------|-----------------------|
| Must Use      | 010         | ST         | Transaction Set Header                | M            | 1       |                |                       |
| Must Use      | 020         | BGN        | Beginning Segment                     | M            | 1       |                |                       |
|               | 030         | DTM        | Date/Time Reference                   | O            | >1      |                |                       |
| N/U           | 040         | LDT        | Lead Time                             | O            | >1      |                |                       |
|               | 050         | PWK        | Paperwork                             | O            | >1      |                |                       |
| LOOP ID - N9  |             |            |                                       |              |         |                | >1                    |
|               | 060         | N9         | Reference Identification              | O            | 1       |                |                       |
| N/U           | 070         | L11        | Business Instructions                 | O            | >1      |                |                       |
|               | 080         | MTX        | Text                                  | O            | >1      |                |                       |
| LOOP ID - NM1 |             |            |                                       |              |         |                | >1                    |
| Must Use      | 090         | NM1        | Individual or Organizational Name     | O            | 1       |                |                       |
|               | 100         | N2         | Additional Name Information           | O            | 2       |                |                       |
|               | 110         | N3         | Address Information                   | O            | 2       |                |                       |
|               | 120         | N4         | Geographic Location                   | O            | 1       |                |                       |
|               | 130         | N9         | Reference Identification              | O            | >1      |                |                       |
|               | 140         | PER        | Administrative Communications Contact | O            | >1      |                |                       |

## Detail:

|              | Pos.<br>No. | Seg.<br>ID | Name               | Req.<br>Des. | Max.Use | Loop<br>Repeat | Notes and<br>Comments |
|--------------|-------------|------------|--------------------|--------------|---------|----------------|-----------------------|
| LOOP ID - HL |             |            |                    |              |         |                | >1                    |
| Must Use     | 010         | HL         | Hierarchical Level | M            | 1       |                |                       |
|              | 020         | QTY        | Quantity           | O            | >1      |                |                       |



## 194 - Grant or Assistance Application

|               |     |     |                                       |   |    |
|---------------|-----|-----|---------------------------------------|---|----|
|               | 030 | AMT | Monetary Amount                       | O | >1 |
|               | 050 | DTM | Date/Time Reference                   | O | >1 |
|               | 060 | PAM | Period Amount                         | O | >1 |
|               | 070 | HSD | Health Care Services Delivery         | O | >1 |
|               | 080 | NX1 | Property or Entity Identification     | O | >1 |
|               | 090 | YNQ | Yes/No Question                       | O | >1 |
| LOOP ID - N9  |     |     |                                       |   | >1 |
|               | 100 | N9  | Reference Identification              | O | 1  |
|               | 105 | L11 | Business Instructions                 | O | >1 |
|               | 110 | MTX | Text                                  | O | >1 |
| LOOP ID - INX |     |     |                                       |   | >1 |
|               | 120 | INX | Index Detail                          | O | 1  |
| Must Use      | 130 | K3  | File Information                      | M | >1 |
| LOOP ID - PO1 |     |     |                                       |   | >1 |
| N/U           | 140 | PO1 | Baseline Item Data                    | O | 1  |
| N/U           | 160 | MTX | Text                                  | O | >1 |
| LOOP ID - PPL |     |     |                                       |   | >1 |
|               | 170 | PPL | Price Support Data                    | O | 1  |
| N/U           | 180 | REF | Reference Identification              | O | >1 |
| LOOP ID - PD  |     |     |                                       |   | >1 |
|               | 190 | PD  | Pricing Data                          | O | 1  |
|               | 200 | PDD | Pricing Data Detail                   | O | >1 |
| LOOP ID - PL  |     |     |                                       |   | >1 |
| N/U           | 210 | PL  | Proposal Cost Logic                   | O | 1  |
| N/U           | 220 | REF | Reference Identification              | O | >1 |
| N/U           | 230 | AMT | Monetary Amount                       | O | 1  |
| N/U           | 240 | PCT | Percent Amounts                       | O | 1  |
| N/U           | 250 | QTY | Quantity                              | O | 1  |
| N/U           | 260 | NTE | Note/Special Instruction              | O | >1 |
| LOOP ID - PD  |     |     |                                       |   | >1 |
| N/U           | 270 | PD  | Pricing Data                          | O | 1  |
| N/U           | 280 | SPI | Specification Identifier              | O | 1  |
| N/U           | 290 | REF | Reference Identification              | O | >1 |
| N/U           | 300 | PDD | Pricing Data Detail                   | O | >1 |
| N/U           | 310 | MTX | Text                                  | O | >1 |
| N/U           | 320 | DTM | Date/Time Reference                   | O | 10 |
| LOOP ID - LX  |     |     |                                       |   | >1 |
|               | 330 | LX  | Assigned Number                       | O | 1  |
|               | 340 | NM1 | Individual or Organizational Name     | O | 1  |
|               | 350 | N2  | Additional Name Information           | O | 2  |
|               | 360 | N3  | Address Information                   | O | 2  |
|               | 370 | N4  | Geographic Location                   | O | 1  |
|               | 375 | PER | Administrative Communications Contact | O | >1 |
|               | 380 | DMG | Demographic Information               | O | >1 |
|               | 390 | EMS | Employment Position                   | O | 1  |
| LOOP ID - N9  |     |     |                                       |   | >1 |
|               | 400 | N9  | Reference Identification              | O | 1  |
| N/U           | 405 | L11 | Business Instructions                 | O | >1 |
|               | 410 | MTX | Text                                  | O | >1 |

## 194 - Grant or Assistance Application

| LOOP ID - DEG |     |     | >1                                |      |
|---------------|-----|-----|-----------------------------------|------|
|               | 420 | DEG | Degree Record                     | O 1  |
|               | 430 | FOS | Field of Study                    | O >1 |
|               | 440 | N1  | Name                              | O >1 |
| LOOP ID - K2  |     |     | >1                                |      |
| N/U           | 450 | K2  | Administrative Message            | O 1  |
| N/U           | 460 | N9  | Reference Identification          | O >1 |
| N/U           | 470 | NM1 | Individual or Organizational Name | O >1 |
| Must Use      | 480 | SE  | Transaction Set Trailer           | M 1  |

**Segment:** **ST** Transaction Set Header  
**Position:** 010  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the start of a transaction set and to assign a control number  
**Syntax Notes:**  
**Semantic Notes:** 1 The transaction set identifier (ST01) used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).  
**Comments:**

## Data Element Summary

| Ref.     | <u>Des.</u> | <u>Data Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|-------------|---------------------|--|-------------------|
| Must Use | ST01        | 143                 | Transaction Set Identifier Code<br>Code uniquely identifying a Transaction Set   | M ID 3/3          |
|          |             |                     | 194 X12.372 Grant or Assistance Application  |                   |
| Must Use | ST02        | 329                 | Transaction Set Control Number<br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set<br><i>This unique control number is assigned by the originator of the transaction set or by the originator's application program. This same number is carried in SE02.</i> | M AN 4/9          |



**Segment:** **BGN** Beginning Segment  
**Position:** 020  
**Loop:**  
**Level:** Heading  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the beginning of a transaction set  
**Syntax Notes:** 1 If BGN05 is present, then BGN04 is required.  
**Semantic Notes:** 1 BGN02 is the transaction set reference number.  
 2 BGN03 is the transaction set date.  
 3 BGN04 is the transaction set time.  
 4 BGN05 is the transaction set time qualifier.  
 5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.

**Comments:****Data Element Summary**

| <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>   | <u>Attributes</u><br><u>M</u> <u>ID</u> <u>2/2</u> |
|----------------------------|-------------------------------|---|--|
| Must Use BGN01             | 353                           | Transaction Set Purpose Code<br>Code identifying purpose of transaction set   |  |
|                            |                               | 00 Original<br><i>Use to indicate the first transmission of a transaction set, other than a preapplication.</i>   |  |
|                            |                               | 01 Cancellation<br><i>Use to indicate the cancellation of a previous transmission.</i>  |  |
|                            |                               | 05 Replace<br><i>Use to indicate that a change has been made to a previous transmission. When used, all data, whether changed or not, must be retransmitted. When used, the retransmitted data will overwrite the information in the receiving database.</i>                                  |  |
|                            |                               | 07 Duplicate<br><i>Use to indicate the retransmission of a previous transaction set. Use only when the receiving organization requests a retransmission because the receiving application system either did not receive the original transmission or received it incorrectly.</i>             |  |
|                            |                               | 24 Draft<br><i>Use to indicate a preapplication as authorized in Federal agency instructions.</i>   |  |
| Must Use BGN02             | 127                           | Reference Identification<br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier<br><i>Use is REQUIRED to identify the grant applicant's unique identifier for this application.</i>                                   | M AN 1/30  |
| Must Use BGN03             | 373                           | Date<br>Date (YYMMDD)<br><i>Use is REQUIRED to identify the date of the transaction set creation.</i>   | M DT 6/6   |
| Must Use BGN04             | 337                           | Time<br>Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | X TM 4/8   |
| Must Use BGN05             | 623                           | Time Code<br>Code identifying the time. In accordance with International Standards  | O ID 2/2   |

Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow

LT

Local Time

UT

Universal Time Coordinate

BGN06

127

**Reference Identification****O AN 1/30**

Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier

*Use is REQUIRED, if applicable, to identify the unique number associated with a solicitation or announcement as released by the Federal Agency to which this application is responding. Identify the title of the solicitation or announcement in 1/N9/060 loop.*

Must Use BGN07

640

**Transaction Type Code****O ID 2/2**

Code specifying the type of transaction

1. Codes 07, 6A, 6C, 6N, 6R, 6S, and S4 are used only by a grant applicant.

2. Codes 65 and FM are used only by Federal Agencies.

07

Budget

*Use to indicate a budget-only submission or re-submission to a previously submitted complete application.*

*When this code is used, grant applicants provide only the minimal information to correctly identify the submission and complete budget data. Use only the following segments/loops (conflicting implementation convention instructions concerning REQUIRED data and contained in segment, element, or code value notes in other segments may be ignored):*

*1/ST/010*

*1/BGN/020*

*1/NM1/090 loop using only NM101 codes BY, SE, and 1B*

*2/HL/010 loop for the Project, and any Subprojects, or Consortiums only*

*2/PPL/170 loop to provide the budget detail*

*2/SE/480*

65

Award Notification

*Use to indicate a budget approved by a Federal Agency for an award. Use the segments as instructed in code 07 plus code CT in 1/N9/060.*

6A

Accomplishment Based Renewal

6C

Competitive Renewal

6N

Non-competitive Renewal

6R

Resubmission

*Use to indicate a resubmission of an application submitted to the same Federal Agency that was disapproved or unfunded in a previous grant application cycle.*

6S

Supplemental

*Use to indicate that this application is a request for an adjustment in the budget to an existing award.*

FM

Funding Modification

*Use to indicate a budget proposed by the Federal agency to the grant applicant. Use the segments as instructed in code 07 plus, if applicable, code CT in 1/N9/060.*

S4

Submission

Use to indicate the submission of a new application.

| BGN08 | 306 | Action Code  | O ID 1/2 |
|-------|-----|--|----------|
|       |     | Code indicating type of action   |          |
|       |     | 2 Change (Update)  |          |
|       |     | <i>Use in conjunction with BGN07 code 6S to indicate a proposed adjustment in the budget of an existing award that neither increases nor decreases the grant total amount.</i> |          |
|       |     | A6 Modified  |          |
|       |     | <i>1. Use in conjunction with BGN07 code FM to indicate a proposed adjustment in the budget of an existing award.</i>  |          |
|       |     | <i>2. Use in conjunction with BGN07 code 6S to indicate an approved adjustment in the budget of an existing award.</i>   |          |
|       |     | AA Award   |          |
|       |     | <i>1. Use in conjunction with BGN07 code FM to indicate a budget proposed for a new award or renewal.</i>  |          |
|       |     | <i>2. Use in conjunction with BGN07 code 6S to indicate an approved budget for a new award or renewal.</i>   |          |
|       |     | AD Decrease in Amount  |          |
|       |     | <i>Use in conjunction with BGN07 code 6S to indicate a proposed downward adjustment in the budget of an existing award.</i>  |          |
|       |     | AI Increase in Amount  |          |
|       |     | <i>Use in conjunction with BGN07 code 6S to indicate a proposed upward adjustment in the budget of an existing award.</i>  |          |
| BGN09 | 786 | Security Level Code  | O ID 2/2 |
|       |     | Code indicating the level of confidentiality assigned by the sender to the information following   |          |
|       |     | <i>1. Use to identify the highest level of government security classification applicable to the data contained within this transaction. Do not use if not classified.</i>      |          |
|       |     | <i>2. Prior notification must be made with the receiving Federal Agency and appropriate security steps taken before classified data can be transmitted using EDI.</i>          |          |
|       |     | 92 Government Confidential   |          |
|       |     | 93 Government Secret   |          |

**Segment:** **DTM** **Date/Time Reference**  
**Position:** 030  
**Loop:**  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**  
 1 At least one of DTM02 DTM03 or DTM06 is required.  
 2 If either DTM06 or DTM07 is present, then the other is required.  
**Semantic Notes:**  
**Comments:**  
**Notes:**  
 1. Use this DTM segment to identify the date the applicant's offer expires.  
 2. When the applicant organization is applying for Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) assistance, use to identify the date the for-profit company was founded.

**Data Element Summary**

| Ref.           | Data    | Name  | Attributes |
|----------------|---------|---|------------|
| Des.           | Element |   | M ID 3/3   |
| Must Use DTM01 | 374     | Date/Time Qualifier   |            |
|                |         | Code specifying type of date or time, or both date and time   |            |
|                | 036     | Expiration  |            |
|                |         | Use to indicate the date this offer is withdrawn by the applicant organization from Federal Agency consideration for award. |            |
|                | 145     | Opening Date  |            |
|                |         | Use only for SBIR and STTR applications to indicate the date the company was founded.                                       |            |
| Must Use DTM02 | 373     | Date  | X DT 6/6   |
|                |         | Date (YYMMDD)   |            |
| DTM05          | 624     | Century   | O N0 2/2   |
|                |         | The first two characters in the designation of the year (CCYY)  |            |

**Segment:** **PWK** Paperwork  
**Position:** 050  
**Loop:**  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify the type and transmission of paperwork or supporting information  
**Syntax Notes:** 1 If either PWK05 or PWK06 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 PWK05 and PWK06 may be used to identify the addressee by a code number.  
2 PWK07 may be used to indicate special information to be shown on the specified report.  
3 PWK08 may be used to indicate action pertaining to a report.  
**Notes:** Use this PWK segment to indicate that information related to the application is being provided by means other than this EDI transaction set.

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name  | Attributes |
|----------------|-----------------|---|------------|
| Must Use PWK01 | 755             | Report Type Code  | M ID 2/2   |
|                |                 | Code indicating the title or contents of a document, report or supporting item  |            |
|                |                 | AE Attachment   |            |
|                |                 | Use to indicate that SOME supplementary technical information is being provided by means other than this transaction set. Use of this code is mutually exclusive with use of code SD. |            |
|                |                 | C1 Cost Data Summary  |            |
|                |                 | Use to indicate that the cost and price (budget) data is being provided by means other than this transaction set.   |            |
|                |                 | SD Support Data for a Request for Quote   |            |
|                |                 | Use to indicate that ALL technical data is being provided by means other than this transaction set. Use of this code is mutually exclusive with use of code AE.                       |            |
| Must Use PWK02 | 756             | Report Transmission Code  | O ID 1/2   |
|                |                 | Code defining timing, transmission method or format by which reports are to be sent   |            |
|                |                 | BE By Mail and Electronically   |            |
|                |                 | Use to indicate E-Mail.   |            |
|                |                 | BM By Mail  |            |
|                |                 | Use to indicate transmittal via the United States Postal Service (USPS).  |            |
|                |                 | CF Courier  |            |
|                |                 | Use to indicate transmittal via commercial express courier. Use in conjunction with PWK04/05.   |            |
|                |                 | DA Data   |            |
|                |                 | Use to indicate other forms of electronic transfer.   |            |
|                |                 | When used, identify the other form in PWK07.  |            |
|                |                 | EL Electronically Only  |            |
|                |                 | Use to indicate that data was sent by a separate EDI transaction set. When used, identify the unique number   |            |



*of the transaction set in N902 of the 1/N9/060 segment citing code TN in N901.*

FX

By Fax

IA

Electronic Image

*Use to indicate the World Wide Web. When used, provide the Universal Resource Locator (URL) where information is to be obtained in PWK07.*

|       |     |  |                  |
|-------|-----|--|------------------|
| PWK04 | 98  | <b>Entity Identifier Code</b>  | <b>O ID 2/2</b>  |
|       |     | Code identifying an organizational entity, a physical location, or an individual   |                  |
|       |     | CA Carrier   |                  |
|       |     | <i>Use in conjunction with PWK02 code CF, PWK05/06 to identify the carrier.</i>  |                  |
| PWK05 | 66  | <b>Identification Code Qualifier</b>   | <b>X ID 1/2</b>  |
|       |     | Code designating the system/method of code structure used for Identification Code (67)   |                  |
|       |     | <i>While the Federal EDI program uses the Data Universal Numbering System (DUNS) and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i> |                  |
|       |     | 1 D-U-N-S Number, Dun & Bradstreet   |                  |
|       |     | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i>  |                  |
|       |     | 9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix   |                  |
|       |     | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i>  |                  |
|       |     | 33 Commercial and Government Entity (CAGE)   |                  |
| PWK06 | 67  | <b>Identification Code</b>   | <b>X AN 2/20</b> |
|       |     | Code identifying a party or other code   |                  |
|       |     | <i>Use to identify the DUNS number, DUNS+4 number or CAGE code of the carrier.</i>   |                  |
| PWK07 | 352 | <b>Description</b>   | <b>O AN 1/80</b> |
|       |     | A free-form description to clarify the related data elements and their content   |                  |
|       |     | <i>1. When PWK02 is code DA, use to identify the other form of electronic transfer.</i>  |                  |
|       |     | <i>2. When PWK02 is code IA, use to provide the Universal Resource Locator (URL) where information is to be obtained.</i>  |                  |



**Segment:** **N9** Reference Identification  
**Position:** 060  
**Loop:** N9  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To transmit identifying information as specified by the Reference Identification Qualifier  
**Syntax Notes:**

- 1 At least one of N902 or N903 is required.
- 2 If N906 is present, then N905 is required.
- 3 If either C04003 or C04004 is present, then the other is required.
- 4 If either C04005 or C04006 is present, then the other is required.

**Semantic Notes:**

- 1 N906 reflects the time zone which the time reflects.
- 2 N907 contains data relating to the value cited in N902.

**Comments:**  
**Notes:** *When BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, FM, or S4, use of this N9 loop is REQUIRED.*

## Data Element Summary

| Ref.<br>Des.  | Data<br>Element | Name   | Attributes |    |     |
|---------------|-----------------|--|------------|----|-----|
|               |                 |  | M          | ID | 2/3 |
| Must Use N901 | 128             | Reference Identification Qualifier<br>Code Qualifying the Reference Identification   |            |    |     |
|               | 2S              | Catalog<br><i>Use to indicate the primary Catalog of Federal Domestic Assistance program number applicable to this application.</i>  |            |    |     |
|               | 4W              | Study<br><i>When BGN07 is code 6A, 6C, 6N, 6R, or S4, use is REQUIRED to indicate the application title. Cite the word TITLE in N903 and use the 1/MTX/080 to cite the title.</i>  |            |    |     |
|               | CT              | Contract Number<br><i>When BGN07 is code 65, 6A, 6C, 6N, 6S, or FM, use is REQUIRED to indicate the award identification.</i>  |            |    |     |
|               | KS              | Solicitation<br><i>Use to indicate the title of the solicitation or announcement identified in BGN06. Cite the word SOURCE in N903 and use the 1/MTX/080 to cite the solicitation title.</i>   |            |    |     |
|               | P4              | Project Code<br><i>Use to indicate the project number applicable to the application.</i>   |            |    |     |
|               | PID             | Program Identification Number<br><i>Use to indicate a code identifying a Federal program, or if a code is not known, the Federal program name. Use of a code is preferred. Cite the code in N902; cite the program name in N903.</i> |            |    |     |
|               | TN              | Transaction Reference Number<br><i>Use to indicate the unique number of a related transaction set. When used, cite code 87 in N907-1 and the X12 transaction set numeric identifier in N907-2.</i>                                   |            |    |     |
|               | WK              | Type of Science Code<br><i>1. Use multiple occurrences as needed to indicate in N902 the keycode for area of science to which the application applies. The keycodes are found in the Grant Keyword Thesaurus.</i>                    |            |    |     |

2. If a code cannot be found for the area of science applicable to this application, use N903 to describe the subject.

|          |        |      |  |   |    |      |
|----------|--------|------|--|---|----|------|
|          | N902   | 127  | <b>Reference Identification</b>  | X | AN | 1/30 |
|          |        |      | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier  |   |    |      |
|          | N903   | 369  | <b>Free-form Description</b>   | X | AN | 1/45 |
|          |        |      | Free-form descriptive text   |   |    |      |
|          | N907   | C040 | <b>Reference Identifier</b>  | O |    |      |
|          |        |      | To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier  |   |    |      |
|          |        |      | <i>When N901 is code TN, use is REQUIRED to reference the applicable X12 transaction set.</i>  |   |    |      |
| Must Use | C04001 | 128  | <b>Reference Identification Qualifier</b>  | M | ID | 2/3  |
|          |        |      | Code Qualifying the Reference Identification   |   |    |      |
|          |        | 87   | <b>Functional Category</b>   |   |    |      |
|          |        |      | <i>When N901 is code TN, use is REQUIRED to qualify the number in N907-2 as the applicable X12 transaction set.</i>  |   |    |      |
| Must Use | C04002 | 127  | <b>Reference Identification</b>  | M | AN | 1/30 |
|          |        |      | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier  |   |    |      |
|          |        |      | <i>When C04001 is code 87, use is REQUIRED to identify the X12 transaction set numeric designation, e.g. 864 to indicate an Accredited Standards Committee (ASC) X12 864 Text Message transaction set.</i> |   |    |      |

**Segment:** **MTX** Text  
**Position:** 080  
**Loop:** N9  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify textual data  
**Syntax Notes:**

- 1 If MTX01 is present, then MTX02 is required.
- 2 If MTX03 is present, then MTX02 is required.

**Semantic Notes:**  
**Comments:**  
**Notes:**

1. When N901 is code 4W, use of this MTX segment is *REQUIRED* to identify the application title.
2. When N901 is code KS, use of this MTX segment is *REQUIRED* to identify the title of the Federal solicitation to which this application is responding.

## Data Element Summary

| Ref.           | Data           |              |                   |          |
|----------------|----------------|--------------|-------------------|----------|
| <u>Des.</u>    | <u>Element</u> | <u>Name</u>  | <u>Attributes</u> |          |
| Must Use MTX02 | 1551           | Message Text | X                 | AN 1/409 |
|                |                |              |                   | 6        |

To transmit large volumes of message text

|                        |  |
|------------------------|--|
| <b>Segment:</b>        | <b>NM1</b> Individual or Organizational Name   |
| <b>Position:</b>       | 090  |
| <b>Loop:</b>           | NM1  |
| <b>Level:</b>          | Heading  |
| <b>Usage:</b>          | Optional (Must Use)  |
| <b>Max Use:</b>        | 1  |
| <b>Purpose:</b>        | To supply the full name of an individual or organizational entity  |
| <b>Syntax Notes:</b>   | <ol style="list-style-type: none"> <li>1 If either NM108 or NM109 is present, then the other is required.</li> <li>2 If NM111 is present, then NM110 is required.</li> </ol>   |
| <b>Semantic Notes:</b> | 1 NM102 qualifies NM103.   |
| <b>Comments:</b>       | 1 NM110 and NM111 further define the type of entity in NM101.  |
| <b>Notes:</b>          | <ol style="list-style-type: none"> <li>1. Use this NM1 loop only to identify the organizations and individuals associated with the business process of submitting the grant application. Use the 2/NM1/340 segment to identify project personnel.</li> <li>2. At least 3 iterations of this NM1 loop are <i>REQUIRED</i> using NM101 code BY to identify the Federal Agency to receive the application, code SE to identify the grant applicant organization, and code 1B to identify the applicant organization authorizing individual. Use the PER segment to identify the Federal Agency point of contact associated with code BY.</li> <li>3. Whenever possible, identify the organization using only a qualifier and number in NM108/09 and the appropriate codes in NM101/02. The organization's full address was established at the time of registration as a Federal Government trading partner. Where no qualified number is available, specify the organization's name in the NM103 (and N2 as needed) and the full address in N3-N4.</li> </ol> |

## Data Element Summary

| Ref.           | Data    | Name  | Attributes |
|----------------|---------|---|------------|
| Des.           | Element |   | M ID 2/2   |
| Must Use NM101 | 98      | Entity Identifier Code  |            |
|                |         | Code identifying an organizational entity, a physical location, or an individual  |            |
|                | 1B      | Applicant   |            |
|                |         | Use is <i>REQUIRED</i> to indicate the grant application authorizing individual in NM103/04. This is the person associated with the grant applicant organization, code SE. Specify the authorizing individual's address in N3 - N4 if different from the grant application organization, code SE. |            |
|                | AD      | Party to be advised (Written orders)  |            |
|                |         | Use to indicate the business officer for the grant applicant. Specify the business officer's address in N3-N4 if different from the grant application organization, code SE.  |            |
|                | BY      | Buying Party (Purchaser)  |            |
|                |         | Use is <i>REQUIRED</i> to indicate the Federal Agency to which the application is being submitted.  |            |
|                | FA      | Facility  |            |
|                |         | Use to indicate the principal place of performance in NM108/09 when other than the address identified with code SE. Use the 2/NM1/340 segment to identify the place of performance associated with each appropriate HL loop, citing code 61 in NM101.   |            |
|                | SE      | Selling Party   |            |

1. Use is **REQUIRED** to indicate the grant applicant organization.

2. When the applicant organization is applying for SBIR or STTR assistance, identify the date the for-profit company was founded in 1/DTM/030.

|          |       |      |  |   |    |      |
|----------|-------|------|--|---|----|------|
| Must Use | NM102 | 1065 | <b>Entity Type Qualifier</b><br>Code qualifying the type of entity   | M | ID | 1/1  |
|          |       | 1    | Person<br><i>When NM101 is code AD or IB, use of NM103/04 is REQUIRED to indicate the name of the individual, using NM105/06/07 as needed.</i>   |   |    |      |
|          |       | 2    | Non-Person Entity<br><i>Use with NM101 codes BY, FA, and SE to indicate that the entity being identified is an organization.</i>   |   |    |      |
|          | NM103 | 1035 | <b>Name Last or Organization Name</b><br>Individual last name or organizational name   | O | AN | 1/35 |
|          | NM104 | 1036 | <b>Name First</b><br>Individual first name   | O | AN | 1/25 |
|          | NM105 | 1037 | <b>Name Middle</b><br>Individual middle name or initial  | O | AN | 1/25 |
|          | NM106 | 1038 | <b>Name Prefix</b><br>Prefix to individual name  | O | AN | 1/10 |
|          | NM107 | 1039 | <b>Name Suffix</b><br>Suffix to individual name  | O | AN | 1/10 |
|          | NM108 | 66   | <b>Identification Code Qualifier</b><br>Code designating the system/method of code structure used for Identification Code (67)<br><i>While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i> | X | ID | 1/2  |
|          |       | 1    | D-U-N-S Number, Dun & Bradstreet<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i>  |   |    |      |
|          |       | 9    | D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i>  |   |    |      |
|          |       | 10   | Department of Defense Activity Address Code (DODAAC)<br><i>Use in conjunction with NM101 code BY to indicate a Department of Defense (DoD) or Civilian Agency Activity Address Code.</i>   |   |    |      |
|          |       | 33   | Commercial and Government Entity (CAGE)<br><i>Use to indicate the specified organization's CAGE code.</i>  |   |    |      |
|          | NM109 | 67   | <b>Identification Code</b><br>Code identifying a party or other code   | X | AN | 2/20 |

**Segment:** **N2** Additional Name Information  
**Position:** 100  
**Loop:** NM1  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 2  
**Purpose:** To specify additional names or those longer than 35 characters in length  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:** *Use if the name of the organization or individual cannot be fully accommodated in NM103/04/05/06/07.*

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>            | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|------------------------|-------------------|
| Must Use | N201                       | 93                            | Name<br>Free-form name | M AN 1/35         |
|          | N202                       | 93                            | Name<br>Free-form name | O AN 1/35         |



**Segment:** **N3** Address Information  
**Position:** 110  
**Loop:** NM1  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 2  
**Purpose:** To specify the location of the named party  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:** *Use to provide a street address for the organization or individual identified in NM103/04/05/06/07 if it cannot be provided by a code in NM108/09 or if it differs from the geographic information associated with the code.*

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>                                | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|--|-------------------|
| Must Use | N301                       | 166                           | Address Information<br>Address information | M AN 1/35         |
|          | N302                       | 166                           | Address Information<br>Address information | O AN 1/35         |

**Segment:** **N4 Geographic Location**  
**Position:** 120  
**Loop:** NM1  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To specify the geographic place of the named party  
**Syntax Notes:** 1 If N406 is present, then N405 is required.  
**Semantic Notes:**  
**Comments:** 1 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location.  
 2 N402 is required only if city name (N401) is in the U.S. or Canada.  
**Notes:** *Use to provide a city, state, zip code and other required information for a complete address for the organization or individual identified in NM103/04/05/06/07 if it cannot be provided by a code in NM108/09 or if it differs from the geographic information associated with the code.*

## Data Element Summary

| <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------------------------|-------------------------------|---|-------------------|
| N401                       | 19                            | City Name<br>Free-form text for city name   | O AN 2/30         |
| N402                       | 156                           | State or Province Code<br>Code (Standard State/Province) as defined by appropriate government agency  | O ID 2/2          |
| N403                       | 116                           | Postal Code<br>Code defining international postal zone code excluding punctuation and blanks (zip code for United States)   | O ID 3/15         |
| N404                       | 26                            | Country Code<br>Code identifying the country  | O ID 2/3          |
| N405                       | 309                           | Location Qualifier<br>Code identifying type of location<br>CY County/Parish<br><i>When NM101 is code SE, use to indicate the county of the applicant as specified in the Federal Agency grant application instructions.</i> | X ID 1/2          |
| N406                       | 310                           | Location Identifier<br>Code which identifies a specific location  | O AN 1/30         |

|                        |   |
|------------------------|---|
| <b>Segment:</b>        | <b>N9</b> Reference Identification  |
| <b>Position:</b>       | 130   |
| <b>Loop:</b>           | NM1   |
| <b>Level:</b>          | Heading   |
| <b>Usage:</b>          | Optional  |
| <b>Max Use:</b>        | >1  |
| <b>Purpose:</b>        | To transmit identifying information as specified by the Reference Identification Qualifier  |
| <b>Syntax Notes:</b>   | <ol style="list-style-type: none"> <li>1 At least one of N902 or N903 is required.</li> <li>2 If N906 is present, then N905 is required.</li> <li>3 If either C04003 or C04004 is present, then the other is required.</li> <li>4 If either C04005 or C04006 is present, then the other is required.</li> </ol>   |
| <b>Semantic Notes:</b> | <ol style="list-style-type: none"> <li>1 N906 reflects the time zone which the time reflects.</li> <li>2 N907 contains data relating to the value cited in N902.</li> </ol>   |
| <b>Comments:</b>       |   |
| <b>Notes:</b>          | <ol style="list-style-type: none"> <li>1. When NM101 is code 1B, AD, or SE, use of this N9 segment is <b>REQUIRED</b> to identify numbers and information relating to organizations and individuals.</li> <li>2. Use multiple repetitions of this N9 segment as needed to identify additional numbers and information regarding organizations and individuals specified in the NM1 loop.</li> </ol> |

## Data Element Summary

| Ref.<br>Des.  | Data<br>Element | Name  | Attributes<br>M ID 2/3 |
|---------------|-----------------|---|------------------------|
| Must Use N901 | 128             | Reference Identification Qualifier<br>Code Qualifying the Reference Identification  |                        |
|               | 19              | Division Identifier<br><i>1. When NM101 is code BY, use to indicate the name of the receiving Federal Agency's division or office responsible for the program to which the applicant is applying. Cite the name in N903.</i><br><i>2. When NM101 is code SE, use to indicate the major subdivision name of the grant applicant organization. For example, School of Engineering or Adhesive Products Division. Cite the name in N903.</i> |                        |
|               | 5C              | Congressional District<br><i>When NM101 is code SE, use is REQUIRED to indicate the Congressional District of the grant applicant.</i>  |                        |
|               | CR              | Customer Reference Number<br><i>When NM101 is code SE, use to indicate an identification number assigned to the grant applicant organization by the Federal Agency receiving the application.</i>   |                        |
|               | DP              | Department Number<br><i>When NM101 is code SE, use to indicate the department, service, laboratory, or equivalent level within the major subdivision name (code 19) of the grant applicant organization. For example, Department of Industrial Engineering or Sales Department.</i>   |                        |
|               | EI              | Employer's Identification Number<br><i>When NM101 is code SE, use to indicate the grant applicant's Entity Identification Number, if available, or Employer Identification Number.</i>  |                        |

P5

**Position Code**

*When NM101 is code 1B or AD, use is REQUIRED to indicate the job title of the individual. Cite the title in N903.*

TJ

**Federal Taxpayer's Identification Number**

*When NM101 is code SE, use is REQUIRED to indicate the grant applicant's Federal TIN. For individuals without a TIN, cite the individual's Social Security Account Number.*

|      |     |   |   |    |      |
|------|-----|---|---|----|------|
| N902 | 127 | <b>Reference Identification</b>   | X | AN | 1/30 |
|      |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |   |    |      |
| N903 | 369 | <b>Free-form Description</b>  | X | AN | 1/45 |
|      |     | Free-form descriptive text  |   |    |      |

**Segment:** **PER** Administrative Communications Contact  
**Position:** 140  
**Loop:** NM1  
**Level:** Heading  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify a person or office to whom administrative communications should be directed  
**Syntax Notes:**

- 1 If either PER03 or PER04 is present, then the other is required.
- 2 If either PER05 or PER06 is present, then the other is required.
- 3 If either PER07 or PER08 is present, then the other is required.

**Semantic Notes:**  
**Comments:**  
**Notes:**

1. Use multiple repetitions as needed to identify communications numbers associated with individuals or organizations identified in the NM1 segment.
2. When NM101 is code 1B or AD, use is *REQUIRED*. Use is optional with codes BY and SE.

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes |
|----------------|-----------------|--|------------|
| Must Use PER01 | 366             | <b>Contact Function Code</b><br>Code identifying the major duty or responsibility of the person or group named<br>IC Information Contact   | M ID 2/2   |
| PER02          | 93              | <b>Name</b><br>Free-form name<br><i>When NM101 is code BY or SE, use to identify the name of a point of contact. Last name, followed by first name, is preferred. If the whole name is longer than 35 characters, the use of an initial for the first name is recommended.</i>   | O AN 1/35  |
| Must Use PER03 | 365             | <b>Communication Number Qualifier</b><br>Code identifying the type of communication number<br><ol style="list-style-type: none"> <li>1. Use to identify the preferred method of communication in the first occurrence. Use PER05/06 and PER07/08 to identify additional communications numbers.</li> <li>2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.</li> </ol> | X ID 2/2   |
|                |                 | EM Electronic Mail<br>FX Facsimile<br><i>Include area code and number.</i>   |            |
|                |                 | IT International Telephone<br><i>Include country and city codes as needed.</i>   |            |
|                |                 | TE Telephone<br><i>Include area code and number.</i>   |            |
| Must Use PER04 | 364             | <b>Communication Number</b><br>Complete communications number including country or area code when applicable   | X AN 1/80  |
| PER05          | 365             | <b>Communication Number Qualifier</b><br>Code identifying the type of communication number   | X ID 2/2   |

1. Use to identify an alternate, or secondary, communications number which can be used to contact the specified Point of Contact (POC).

2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.

|    |   |
|----|---|
| EM | Electronic Mail   |
| EX | Telephone Extension<br><i>Use only if PER03 cites the code TE.</i>          |
| FX | Facsimile<br><i>Include area code and number.</i>                           |
| IT | International Telephone<br><i>Include country and city codes as needed.</i> |
| TE | Telephone<br><i>Include area code and number.</i>                           |

|       |     |   |   |    |      |
|-------|-----|---|---|----|------|
| PER06 | 364 | Communication Number  | X | AN | 1/80 |
|       |     | Complete communications number including country or area code when applicable |   |    |      |
| PER07 | 365 | Communication Number Qualifier  | X | ID | 2/2  |
|       |     | Code identifying the type of communication number                             |   |    |      |
|       |     | 1. Use to identify a third communications number.                             |   |    |      |

2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.

|    |   |
|----|---|
| EM | Electronic Mail   |
| EX | Telephone Extension<br><i>Use only if PER05 cites code TE.</i>              |
| FX | Facsimile<br><i>Include area code and number.</i>                           |
| IT | International Telephone<br><i>Include country and city codes as needed.</i> |
| TE | Telephone<br><i>Include area code and number.</i>                           |

|       |     |   |   |    |      |
|-------|-----|---|---|----|------|
| PER08 | 364 | Communication Number  | X | AN | 1/80 |
|       |     | Complete communications number including country or area code when applicable                   |   |    |      |
| PER09 | 443 | Contact Inquiry Reference   | O | AN | 1/20 |
|       |     | Additional reference number or description to clarify a contact number                          |   |    |      |
|       |     | Use to provide the office symbol or organization routing code of the individual cited in PER02. |   |    |      |



Segment: **HL** Hierarchical Level

Position: 010

Loop: HL

Level: Detail

Usage: Mandatory

Max Use: 1

Purpose: To identify dependencies among and the content of hierarchically related groups of data segments

Syntax Notes:

Semantic Notes:

Comments:

- 1 The HL segment is used to identify levels of detail information using a hierarchical structure, such as relating line-item data to shipment data, and packaging data to line-item data.
- 2 HL01 shall contain a unique alphanumeric number for each occurrence of the HL segment in the transaction set. For example, HL01 could be used to indicate the number of occurrences of the HL segment, in which case the value of HL01 would be "1" for the initial HL segment and would be incremented by one in each subsequent HL segment within the transaction.
- 3 HL02 identifies the hierarchical ID number of the HL segment to which the current HL segment is subordinate.
- 4 HL03 indicates the context of the series of segments following the current HL segment up to the next occurrence of an HL segment in the transaction. For example, HL03 is used to indicate that subsequent segments in the HL loop form a logical grouping of data referring to shipment, order, or item-level information.
- 5 HL04 indicates whether or not there are subordinate (or child) HL segments related to the current HL segment.

Notes:

1. Use this HL loop to identify project organization, personnel, technical data, and budget data associated with the application.

2. The transaction set hierarchy as defined by this HL loop shall be:

- a. The Project loop shall be the first iteration of the HL loop.
- b. The Project loop may have a single subordinate Previous Award (IB) loop.
- c. The Project loop may have any number of subordinate Sub-project (SP), Consortium (CO), Key Person (26), human subject Care Group (4), or Animal Subject (AS) loops.
- d. Sub-project and Consortium loops may have any number of subordinate Sub-project, Consortium, Key Person, human subject Care Group, or Animal Subject loops.
- e. Key Person loops may have any number of subordinate Other Support (OS) loops.
- f. Care Group loops may have any number of subordinate medical Procedure (PD) loops.
- g. Animal Subject loops may have any number of subordinate Animal Subject loops, but only if the subordinate loop contains a subset of animals of the same species.

3. The term "project" in the following implementation notes is used generically to identify dates, quantities, etc. related to the Project and subordinate Sub-projects and/or Consortia. The terms "Project loop", "Sub-project loop", and "Consortium loop" are not interchangeable. They are used to distinguish between the efforts and to establish the precise hierarchical relationship between them.

#### Data Element Summary

| Ref.     | Data    |  | Attributes |
|----------|---------|--|------------|
| Des.     | Element | Name   |            |
| Must Use | HL01    | 628 Hierarchical ID Number   | M AN 1/12  |
|          |         | A unique number assigned by the sender to identify a particular data segment in a hierarchical structure             |            |
|          |         | In the first iteration of this HL loop, cite the number 1. Increment by 1 for each subsequent iteration of the loop. |            |

HL02

734

**Hierarchical Parent ID Number**

O AN 1/12

Identification number of the next higher hierarchical data segment that the data segment being described is subordinate to

*Use to identify the HL01 sequence number of the loop which is the parent loop to the current HL loop iteration.*

Must Use HL03

735

**Hierarchical Level Code**

M ID 1/2

Code defining the characteristic of a level in a hierarchical structure

*Select a code to indicate that the current HL loop iteration is one of the following loop types: Project, Sub-project, Consortium, Previous Award, Key Person, Other Support, Animal Subject, human subject Care Group, or Procedure.*

4

**Group**

*Use to indicate a human subject Care Group loop. A Care Group loop must have the Project, a Sub-project, or a Consortium loop as its parent.*

26

**Member**

*1. Use to indicate a Key Person loop. This loop is only needed when the individual has active, pending or planned other support. Use of a separate loop iteration is REQUIRED for each Key Person (NM101 codes 9P, 9S, or 9K in the 2/NM1/340 segment) identified in the Project or any Sub-project or Consortium loop who is receiving, applying for, or planning to apply for other support.*

*2. A Key Person loop must have the Project, a Sub-project, or a Consortium loop as its parent. For each Key Person loop, a subordinate Other Support loop is REQUIRED for each other support project to identify the level of support, the organization providing the support, and other related data.*

AS

**Animal Subject Group**

*Use to indicate an Animal Subject loop. An Animal Subject loop must have the Project, a Sub-project, a Consortium, or other Animal Subject loop as its parent. Animal Subject loops only apply to vertebrates.*

CO

**Consortium**

*Use to indicate a Consortium loop. A Consortium loop must have the Project, a Sub-project, or other Consortium loop as its parent.*

IB

**Contract**

*Use to indicate a Previous Award loop. The Previous Award loop may only have the Project loop as its parent. Use this code only if 1/BGN07/020 contains the code 6A, 6C, 6N.*

OS

**Support**

*1. When HL03 is code 26 (Key Person loop), use to indicate an Other Support loop associated with the Key Person.*

*2. One iteration of an Other Support loop is REQUIRED for EACH project (active, pending, or*

*planned), other than a project contained in this application, to identify the level of support, the organization providing the support, and other related data. Submission of this same application to another agency requires the use of an Other Support loop.*

PC

Project Code

*Use is REQUIRED in the first iteration of the HL loop to identify the Project loop. Do not use in subsequent loops.*

PD

Procedure

*Use to indicate a medical Procedure loop. A Procedure loop must have a human subject Care Group loop as its parent.*

SP

Sub-Project

*Use to indicate a Sub-project loop. A Sub-project loop must have the Project, another Sub-project, or a Consortium loop as its parent.*

HL04

736

**Hierarchical Child Code****O ID 1/1**

Code indicating if there are hierarchical child data segments subordinate to the level being described

*Use to indicate whether or not there is a subordinate loop to follow.*

0

No Subordinate HL Segment in This Hierarchical Structure.

1

Additional Subordinate HL Data Segment in This Hierarchical Structure.

**Segment:** **QTY** Quantity  
**Position:** 020  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify quantity information  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:** Use this segment only when HL03 is code PC (Project loop), AS (Animal Subject loop) or, 4 (Care Group loop)

## Data Element Summary

| Must Use | Ref.<br>Des.<br>QTY01 | Data<br>Element<br>673 | Name<br>Quantity Qualifier<br>Code specifying the type of quantity  | Attributes |    |   |
|----------|-----------------------|------------------------|---|------------|----|---|
|          |                       |                        |   | M          | ID | 2/2   |
|          |                       |                        | 1K  |            |    | Time Units<br>When HL03 is code 4 (Care Group loop), or AS (Animal Subject loop), use multiple occurrences as needed to indicate the Project budget period in which the group will be used. Cite 1 for the first budget period of the project, 2 for the second, etc. |
|          |                       |                        | E5  |            |    | Employed by this Company<br>When HL03 is code PC (Project loop), use to indicate the number of employees in the company. Use only in Small Business Innovation Research Program (SBIR) and Small Business Technology Transfer Program (STTR) applications.            |
|          |                       |                        | S7  |            |    | Age, High Value<br>When HL03 is code 4 (Care Group loop) or AS (Animal Subject loop), use to indicate upper limit in the age range criterion for human and animal subjects.   |
|          |                       |                        | S8  |            |    | Age, Low Value<br>Use when HL03 is code 04 (Care Group loop) or AS (Animal Subject loop) to indicate the lower limit in the age range criterion for human and animal subjects.  |
|          |                       |                        | TO  |            |    | Total<br>When HL03 is code 4 (Care Group loop) or AS (Animal Subject loop), use to indicate the number of subjects in the group.  |
| Must Use | QTY02                 | 380                    | Quantity<br>Numeric value of quantity   | M          | R  | 1/15  |
| Must Use | QTY03                 | C001                   | Composite Unit of Measure<br>To identify a composite unit of measure(See Figures Appendix for examples of use.)   | O          |    |   |
| Must Use | C00101                | 355                    | Unit or Basis for Measurement Code<br>Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken<br>Use the applicable unit of measure code dependent on the code cited in QTY01. When QTY01 is code E5, TO, or 1K, use code EA. When QTY01 is code S7 or S8, use one of codes DA, MO, or YR. | M          | ID | 2/2   |

194 - Grant or Assistance Application

|    |        |
|----|--------|
| DA | Days   |
| EA | Each   |
| MO | Months |
| YR | Years  |



**Segment:** **AMT** Monetary Amount  
**Position:** 030  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate the total monetary amount  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:** Use multiple repetitions of this AMT segment, as needed, when HL03 is code PD (Procedure loop) or AS (Animal Subject loop).

## Data Element Summary

| Ref.<br>Des. | Data<br>Element | Name | Attributes   |
|--------------|-----------------|------|--|
| Must Use     | AMT01           | 522  | Amount Qualifier Code  |
|              |                 |      | Code to qualify amount   |
|              |                 |      | 1. When HL03 is code PD (Procedure loop), use codes 1F and 1G to identify outpatient expenses NOT associated with in-patient stays; use the 2/PAM/060 segment to identify the cost of in-patient hospital stays. |
|              |                 |      | 2. When HL03 is code AS (Animal Subject Loop) and either code G3 or SP is used, provide the species description in the 2/N9/100 loop citing code L4 in N901 and code H. 1 in N902.                               |
|              |                 |      | 3. When HL03 is code PD (Procedure loop), use codes 1H, D7, and FE to identify costs associated with either inpatient or outpatient procedures.  |
|              |                 | 1F   | Lodging  |
|              |                 | 1G   | Meals  |
|              |                 | 1H   | Travel Expense   |
|              |                 | D7   | Dispensing Fee   |
|              |                 |      | When HL03 is code PD (Procedure loop), use to identify the unit cost per care procedure.   |
|              |                 | FE   | Fee  |
|              |                 |      | Use to indicate the total fees paid to donors.   |
|              |                 | G3   | Price per Unit Area  |
|              |                 |      | When HL03 is code AS (Animal Subject loop), use multiple repetitions, as needed, to indicate the purchase price of animals that individually priced. When this code is used, do not use code SP.                 |
|              |                 | SP   | Sales Price  |
|              |                 |      | When HL03 is code AS (Animal Subject loop), use to indicate the average purchase price of animals in a group. When this code is used, do not use code G3.  |
| Must Use     | AMT02           | 782  | Monetary Amount  |
|              |                 |      | Monetary amount  |
|              |                 |      | M R 1/15   |



**Segment:** **DTM** Date/Time Reference  
**Position:** 050  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify pertinent dates and times  
**Syntax Notes:**  
     1 At least one of DTM02 DTM03 or DTM06 is required.  
     2 If either DTM06 or DTM07 is present, then the other is required.  
**Semantic Notes:**  
**Comments:**  
**Notes:** *When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use to indicate the planned start and stop dates for the project.*

## Data Element Summary

| Ref.           | Data    | Name  | Attributes |
|----------------|---------|---|------------|
| Des.           | Element |   |            |
| Must Use DTM01 | 374     | Date/Time Qualifier   | M ID 3/3   |
|                |         | Code specifying type of date or time, or both date and time   |            |
|                | 193     | Period Start  |            |
|                |         | <i>Use to indicate the planned start date.</i>  |            |
|                | 194     | Period End  |            |
|                |         | <i>Use to indicate the planned completion date.</i>   |            |
|                | 432     | Submission  |            |
|                |         | <i>When HL03 is code OS, use to indicate the submission date for active or pending Other Support.</i> |            |
| Must Use DTM02 | 373     | Date  | X DT 6/6   |
|                |         | Date (YYMMDD)   |            |
| DTM05          | 624     | Century   | O N0 2/2   |
|                |         | The first two characters in the designation of the year (CCYY)  |            |

**Segment:** **PAM** Period Amount  
**Position:** 060  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To indicate a quantity, and/or amount for an identified period  
**Syntax Notes:**

- 1 If any of PAM01 PAM02 or PAM03 is present, then all are required.
- 2 At least one of PAM02 PAM05 or PAM14 is required.
- 3 If either PAM04 or PAM05 is present, then the other is required.
- 4 If either PAM06 or PAM07 is present, then the other is required.
- 5 If PAM07 is present, then at least one of PAM08 or PAM09 is required.
- 6 If PAM07 is present, then PAM06 is required.
- 7 If PAM08 is present, then PAM07 is required.
- 8 If PAM09 is present, then PAM07 is required.
- 9 If PAM10 is present, then at least one of PAM11 or PAM12 is required.
- 10 If PAM11 is present, then PAM10 is required.
- 11 If either PAM13 or PAM14 is present, then the other is required.

**Semantic Notes:** 1 PAM10, PAM11, or PAM12 are used when two dates are required.

**Comments:****Notes:**

1. When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop), use of this segment is **REQUIRED** to identify the planned duration of the project.
2. When HL03 is code OS (Other Support loop), at least one occurrence of this segment is **REQUIRED** to identify the total and annual direct funding (active, pending, or planned) for the project, the amount of effort on the part of the identified individual in the parent Key Person loop in support of that project, the total period of performance, and the type of period (e.g., summer period). Multiple occurrences may be used to specify different levels of effort to be worked on the Other Support project during different time periods.
3. When HL03 is code PD (Procedure loop), use this segment to identify the average number of days and the daily rate of in-patient hospital stays.
4. When HL03 is code AS (Animal Subject loop), use this segment to identify the average number of days and the daily rate for housing animal subjects.

**Data Element Summary**

| Ref.<br>Des. | Data<br>Element | Name   | Attributes |
|--------------|-----------------|--|------------|
| PAM01        | 673             | Quantity Qualifier   | X ID 2/2   |
|              |                 | Code specifying the type of quantity   |            |
|              |                 | 37 Work In Process   |            |
|              |                 | When HL03 is code OS (Other Support loop), use to indicate the number of labor months of active support funded by the other project.                       |            |
|              |                 | A3 Most Likely Duration  |            |
|              |                 | When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use is <b>REQUIRED</b> to indicate the planned duration of a project. |            |
|              |                 | AY Forecast  |            |
|              |                 | When HL03 is code OS (Other Support loop), use to indicate the number of labor months of support planned for submission to the other project.              |            |
|              |                 | DY Days  |            |

1. When HL03 is code PD (Procedure loop), use to indicate the average number of days a patient will be in a hospital or treatment facility.

2. When HL03 is code AS (Animal Subject loop), use to indicate the average length of housing.

E3

Employed on this job

When HL03 is code OS (Other Support loop), use to indicate the average level of effort to be dedicated to the project if less than full time for the individual identified in the parent Key Person loop. Cite the level of effort in months in PAM02/03 and as a percentage in PAM13/14. Identify the applicable period in PAM06, PAM07/08, and PAM10/11.

KA

Estimated

When HL03 is code OS (Other Support loop), use to indicate the number of labor months of pending support requested for the other project.

|          |        |   |   |    |      |
|----------|--------|---|---|----|------|
| PAM02    | 380    | Quantity  | X | R  | 1/15 |
|          |        | Numeric value of quantity   |   |    |      |
| PAM03    | C001   | Composite Unit of Measure   | X |    |      |
|          |        | To identify a composite unit of measure(See Figures Appendix for examples of use.)  |   |    |      |
| Must Use | C00101 | 355 Unit or Basis for Measurement Code  | M | ID | 2/2  |
|          |        | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken  |   |    |      |
|          |        | DA Days   |   |    |      |
|          |        | Use only with PAM01 code DY.  |   |    |      |
|          |        | MO Months   |   |    |      |
|          |        | Use with PAM01 code 37, A3, AY, E3, and KA.   |   |    |      |
| PAM04    | 522    | Amount Qualifier Code   | X | ID | 1/2  |
|          |        | Code to qualify amount  |   |    |      |
|          |        | 80 Funding - Total Requirements   |   |    |      |
|          |        | 1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, use to indicate the total awarded amount.  |   |    |      |
|          |        | 2. When HL03 is code OS (Other Support loop) and PAM01 is code KA, use to indicate the total requested amount.  |   |    |      |
|          |        | 3. When HL03 is code OS (Other Support loop) and PAM01 is code AY, use to indicate the total amount of support planned for submission to the other project. |   |    |      |
|          |        | Annual Revenue  |   |    |      |
|          |        | 1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, use to indicate the annual direct cost associated with the most recent award.            |   |    |      |
|          |        | 2. When HL03 is code OS (Other Support loop) and PAM01 is code KA, use to indicate the annual direct cost associated with the initial budget period.        |   |    |      |

KE

|       |      | PY   | Per Person per Day Limit   |   |    |      |
|-------|------|--|--|---|----|------|
|       |      |  | 1. When HL03 is code PD (Procedure loop) and PAM01 code DY, use to indicate the daily inpatient care rate.   |   |    |      |
|       |      |  | 2. When HL03 is code AS (Animal Subject loop), use to indicate the daily housing cost.   |   |    |      |
| PAM05 | 782  | Monetary Amount  |  | X | R  | 1/15 |
|       |      | Monetary amount  |  |   |    |      |
|       |      | Amount in U.S. currency.   |  |   |    |      |
| PAM06 | 344  | Unit of Time Period or Interval  |  | X | ID | 2/2  |
|       |      | Code indicating the time period or interval  |  |   |    |      |
|       |      | When HL03 is code OS (Other Support loop) and PAM01 is either code 37, AY, or KA, use to identify the appropriate time period specified in PAM07/08. |  |   |    |      |
|       |      | AP   | Academic Period  |   |    |      |
|       |      |  | Use to indicate an academic period.  |   |    |      |
|       |      | CC   | Cycles   |   |    |      |
|       |      |  | Use to indicate a total Other Support project period when not an academic period, summer period or an annual period.   |   |    |      |
|       |      | CY   | Calendar Year  |   |    |      |
|       |      |  | Use to indicate an annual period.  |   |    |      |
|       |      | SP   | Summer Period  |   |    |      |
|       |      |  | Use to indicate a summer period.   |   |    |      |
| PAM07 | 374  | Date/Time Qualifier  |  | X | ID | 3/3  |
|       |      | Code specifying type of date or time, or both date and time  |  |   |    |      |
|       |      | 193  | Period Start   |   |    |      |
|       |      |  | 1. When HL03 is code OS (Other Support loop) and PAM01 is code 37 use to indicate the date the support started.  |   |    |      |
|       |      |  | 2. When HL03 is code OS (Other Support loop) and PAM01 is code AY or KA use to indicate the estimated start date.  |   |    |      |
| PAM08 | 373  | Date   |  | X | DT | 6/6  |
|       |      | Date (YYMMDD)  |  |   |    |      |
| PAM10 | 374  | Date/Time Qualifier  |  | X | ID | 3/3  |
|       |      | Code specifying type of date or time, or both date and time  |  |   |    |      |
|       |      | 194  | Period End   |   |    |      |
|       |      |  | When HL03 is code OS (Other Support loop) and PAM01 is either code 37, AY, or KA, use to indicate the date that support (planned, pending, or active) is anticipated to terminate.           |   |    |      |
| PAM11 | 373  | Date   |  | X | DT | 6/6  |
|       |      | Date (YYMMDD)  |  |   |    |      |
| PAM13 | 1004 | Percent Qualifier  |  | X | ID | 1/2  |
|       |      | Code to qualify percent  |  |   |    |      |
|       |      | 14   | Availability Factor  |   |    |      |
|       |      |  | When PAM01 is code E3, use to indicate the average level of effort to be dedicated to the project if less than full time (100%) for the individual identified in the parent Key Person loop. |   |    |      |
| PAM14 | 954  | Percent  |  | X | R  | 1/10 |
|       |      | Percentage expressed as a decimal  |  |   |    |      |

*Cite 50 to indicate 50% (one-half time); cite 75.5 to indicate 75.5%.*

**Segment:** **HSD** Health Care Services Delivery  
**Position:** 070  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify the delivery pattern of health care services  
**Syntax Notes:** 1 If either HSD01 or HSD02 is present, then the other is required.  
 2 If HSD06 is present, then HSD05 is required.  
**Semantic Notes:**  
**Comments:**  
**Notes:** *When HL03 is code PD (Procedure loop), use this segment to identify the number of patients to receive a treatment and the average number of treatments to be provided to each patient.*

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |    |      |
|----------|----------------------------|-------------------------------|--|-------------------|----|------|
| Must Use | HSD01                      | 673                           | Quantity Qualifier<br>Code specifying the type of quantity<br>AG<br>Number of End Users<br><i>Use to indicate the number of patients being treated with the specified procedure.</i> | X                 | ID | 2/2  |
| Must Use | HSD02                      | 380                           | Quantity<br>Numeric value of quantity  | X                 | R  | 1/15 |
| Must Use | HSD05                      | 615                           | Time Period Qualifier<br>Code defining periods<br>1<br>Chargeable Periods<br><i>Use to indicate the average number of treatments to be administered to each patient.</i>             | X                 | ID | 1/2  |
| Must Use | HSD06                      | 616                           | Number of Periods<br>Total number of periods   | O                 | N0 | 1/3  |



**Segment:** **NX1** **Property or Entity Identification**  
**Position:** 080  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To define the attributes of a property or an entity  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:**

1. When HL03 is code PC (Project loop), a single occurrence of this segment is *REQUIRED* to identify the type of organization submitting the application.
2. Use, as applicable, when HL03 is code SP (Sub-project loop) or CO (Consortium loop).

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name  | Attributes |
|----------------|-----------------|---|------------|
| Must Use NX101 | 98              | Entity Identifier Code  | M ID 2/2   |
|                |                 | Code identifying an organizational entity, a physical location, or an individual<br>Use ALL listed codes that apply. Cite the applicable codes in<br>NX101/02/03/04/05, as needed.  |            |
|                | 1F              | Alliance  |            |
|                |                 | Use to indicate an international organization (e.g.,<br>World Health Organization).   |            |
|                | 21              | Small Business  |            |
|                | 27              | Small Disadvantaged Business  |            |
|                | 2F              | State   |            |
|                |                 | Use to indicate a state government-owned entity.<br>Includes school grades K-12. Use in conjunction with<br>code M8 to indicate institutions of higher education,<br>such as state universities and colleges.   |            |
|                | 2J              | Individual  |            |
|                | 2R              | Federal Facility  |            |
|                |                 | Use to indicate a Federally owned facility.   |            |
|                | 80              | Hospital  |            |
|                | 8E              | Minority Institution  |            |
|                |                 | Use to indicate the organization is also an institution of<br>higher education and code HB does not apply. If the<br>institution is publicly-owned, use in conjunction with<br>one of the following codes: 2F, 2R, C6, C7, and C8;<br>otherwise, the institution will be considered to be<br>privately-owned. |            |
|                | 91              | Action Party  |            |
|                |                 | Use to indicate a Community Action Agency.  |            |
|                | 95              | Research Institute  |            |
|                |                 | Also use code 2F, 2R, C6, C7, or C8 if the institution is<br>publicly-owned.  |            |

|    |  |
|----|--|
| A2 | Woman-Owned Business   |
| A6 | Section 8(a) Program Participant Firm  |
| A8 | Nonprofit Institution  |
|    | <p>1. Use to indicate a nonprofit entity not otherwise identified by a listed code.</p> <p>2. Also may be used with other codes to indicate that the entity is a nonprofit organization. If this code is not used in conjunction with another code, that entity will be assumed to be for-profit. Do not use with codes 1F, 2F, 2R, C6, C7, C8, or XY.</p> |
| B2 | Other Unlisted Type of Organizational Entity   |
|    | <p>Use to indicate an organizational entity type not included in other available codes (e.g., a Federally Funded Research and Development Center [FFRDC]). This code may be used in conjunction with code A8 but not other codes.</p>  |
| B9 | Large Business   |
| BZ | Business Associate   |
|    | <p>Use to indicate a Foundation; an organization, closely affiliated with but separately incorporated from another organization, established to facilitate the administration of research and other programs supported by Federal funds.</p>   |
| C6 | Municipality   |
|    | <p>Use to indicate a local government-owned entity. Includes boroughs, townships and organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</p>   |
| C7 | County   |
|    | <p>Use to indicate a local government-owned entity. Includes organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</p>   |
| C8 | City   |
|    | <p>Use to indicate a local government-owned entity. Includes organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</p>   |
| H6 | School District  |
| HB | Historically Black College or University   |
|    | <p>If the institution is publicly-owned, use in conjunction with one of the following codes: 2F, 2R, C6, C7, C8; otherwise, the institution will be considered to be privately-owned.</p>  |
| KM | Coordinator  |
|    | <p>Use to indicate a Planning Commission.</p>  |

|    |   |
|----|---|
| M8 | Educational Institution<br><i>The organization is also an institution of higher education. If the institution is publicly-owned, use in conjunction with one of the following codes: 2F, 2R, C6, C7, C8; otherwise, the institution will be considered to be privately-owned.</i> |
| T4 | Transfer Point<br><i>Use to indicate a Port Authority.</i>  |
| TR | Terminal<br><i>Use to indicate an Airport Authority.</i>  |
| TW | Transit Authority   |
| UD | Region<br><i>Use to indicate a Council of Governments.</i>  |
| XY | Tribal Government<br><i>Use to indicate an American Indian organization which is not a business.</i>  |
| XZ | American Indian-Owned Business  |
| ZZ | Mutually Defined<br><i>Use to indicate the organization is predominantly Hispanic (Hispanic Service Institute).</i>   |

NX102

98

**Entity Identifier Code****O ID 2/2**

Code identifying an organizational entity, a physical location, or an individual  
*Notes associated with specific codes in NX101, are applicable to the same codes in this data element.*

|    |  |
|----|--|
| 1F | Alliance                                     |
| 21 | Small Business                               |
| 27 | Small Disadvantaged Business                 |
| 2F | State  |
| 2J | Individual                                   |
| 2R | Federal Facility                             |
| 80 | Hospital                                     |
| 8E | Minority Institution                         |
| 91 | Action Party                                 |
| 95 | Research Institute                           |
| A2 | Woman-Owned Business                         |
| A6 | Section 8(a) Program Participant Firm        |
| A8 | Nonprofit Institution                        |
| B2 | Other Unlisted Type of Organizational Entity |
| B9 | Large Business                               |
| BZ | Business Associate                           |
| C6 | Municipality                                 |
| C7 | County                                       |
| C8 | City   |
| H6 | School District                              |
| HB | Historically Black College or University     |
| KM | Coordinator                                  |
| M8 | Educational Institution                      |
| T4 | Transfer Point                               |
| TR | Terminal                                     |
| TW | Transit Authority                            |

|    |                                |
|----|--------------------------------|
| UD | Region                         |
| XY | Tribal Government              |
| XZ | American Indian-Owned Business |
| ZZ | Mutually Defined               |

**NX103      98      Entity Identifier Code      O   ID   2/2**  
 Code identifying an organizational entity, a physical location, or an individual  
*Notes associated with specific codes in NX101, are applicable to the same codes in this data element.*

|    |  |
|----|--|
| 1F | Alliance                                     |
| 21 | Small Business                               |
| 27 | Small Disadvantaged Business                 |
| 2F | State  |
| 2J | Individual                                   |
| 2R | Federal Facility                             |
| 80 | Hospital                                     |
| 8E | Minority Institution                         |
| 91 | Action Party                                 |
| 95 | Research Institute                           |
| A2 | Woman-Owned Business                         |
| A6 | Section 8(a) Program Participant Firm        |
| A8 | Nonprofit Institution                        |
| B2 | Other Unlisted Type of Organizational Entity |
| B9 | Large Business                               |
| BZ | Business Associate                           |
| C6 | Municipality                                 |
| C7 | County                                       |
| C8 | City   |
| H6 | School District                              |
| HB | Historically Black College or University     |
| KM | Coordinator                                  |
| M8 | Educational Institution                      |
| T4 | Transfer Point                               |
| TR | Terminal                                     |
| TW | Transit Authority                            |
| UD | Region                                       |
| XY | Tribal Government                            |
| XZ | American Indian-Owned Business               |
| ZZ | Mutually Defined                             |

**NX104      98      Entity Identifier Code      O   ID   2/2**  
 Code identifying an organizational entity, a physical location, or an individual  
*Notes associated with specific codes in NX101, are applicable to the same codes in this data element.*

|    |                              |
|----|------------------------------|
| 1F | Alliance                     |
| 21 | Small Business               |
| 27 | Small Disadvantaged Business |
| 2F | State                        |
| 2J | Individual                   |
| 2R | Federal Facility             |
| 80 | Hospital                     |
| 8E | Minority Institution         |
| 91 | Action Party                 |

|    |  |
|----|--|
| 95 | Research Institute                           |
| A2 | Woman-Owned Business                         |
| A6 | Section 8(a) Program Participant Firm        |
| A8 | Nonprofit Institution                        |
| B2 | Other Unlisted Type of Organizational Entity |
| B9 | Large Business                               |
| BZ | Business Associate                           |
| C6 | Municipality                                 |
| C7 | County                                       |
| C8 | City   |
| H6 | School District                              |
| HB | Historically Black College or University     |
| KM | Coordinator                                  |
| M8 | Educational Institution                      |
| T4 | Transfer Point                               |
| TR | Terminal                                     |
| TW | Transit Authority                            |
| UD | Region                                       |
| XY | Tribal Government                            |
| XZ | American Indian-Owned Business               |
| ZZ | Mutually Defined                             |

NX105

98

**Entity Identifier Code****O ID 2/2**

Code identifying an organizational entity, a physical location, or an individual  
*Notes associated with specific codes in NX101, are applicable to the same codes in this data element.*

|    |  |
|----|--|
| 1F | Alliance                                     |
| 21 | Small Business                               |
| 27 | Small Disadvantaged Business                 |
| 2F | State  |
| 2J | Individual                                   |
| 2R | Federal Facility                             |
| 80 | Hospital                                     |
| 8E | Minority Institution                         |
| 91 | Action Party                                 |
| 95 | Research Institute                           |
| A2 | Woman-Owned Business                         |
| A6 | Section 8(a) Program Participant Firm        |
| A8 | Nonprofit Institution                        |
| B2 | Other Unlisted Type of Organizational Entity |
| B9 | Large Business                               |
| BZ | Business Associate                           |
| C6 | Municipality                                 |
| C7 | County                                       |
| C8 | City   |
| H6 | School District                              |
| HB | Historically Black College or University     |
| KM | Coordinator                                  |
| M8 | Educational Institution                      |
| T4 | Transfer Point                               |
| TR | Terminal                                     |
| TW | Transit Authority                            |



194 - Grant or Assistance Application

UD  
XY  
XZ  
ZZ

Region  
Tribal Government  
American Indian-Owned Business  
Mutually Defined

**Segment:** **YNQ** Yes/No Question  
**Position:** 090  
**Loop:** HL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify and answer yes and no questions, including the date, time, and comments further qualifying the condition  
**Syntax Notes:** 1 Only one of YNQ01 YNQ09 or YNQ10 may be present.  
2 If either YNQ03 or YNQ04 is present, then the other is required.  
3 If YNQ09 is present, then YNQ08 is required.  
**Semantic Notes:** 1 YNQ02 confirms or denies the statement made in YNQ01, YNQ09 or YNQ10. A "Y" indicates the statement is confirmed; an "N" indicates the statement is denied.  
2 YNQ10 contains a free-form question when codified questions are not available.  
**Comments:**  
**Notes:** 1. When HL03 is code PC (Project loop), use this segment to indicate Yes/No conditions regarding the grant applicant and, where necessary, to provide explanations.  
2. When HL03 is code PD (Procedure Loop), use of this segment is *REQUIRED* if the response to the question J2 is no.

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes |
|----------------|-----------------|--|------------|
| Must Use YNQ01 | 1321            | Condition Indicator<br>Code indicating a condition   | X ID 2/2   |
|                |                 | 1. Use codes only when the organization's response to the question matches the criteria in the code note.  |            |
|                |                 | 2. When a code is used, use YNQ05/06/07 to provide explanations.   |            |
|                | FG              | Application is Certified<br><i>The applicant certifies compliance with all applicable assurances identified on the Standard Form 424b. Use if the answer is no. A no response requires an explanation.</i> |            |
|                | G3              | Hazardous Materials are Used or Produced<br><i>Are hazardous materials used or produced in the project? Use if the answer is yes.</i>  |            |
|                | G4              | Genetically Engineered Organisms are Used or Produced<br><i>Are genetically engineered organisms used or produced in the project? Use if the answer is yes.</i>  |            |
|                | G5              | This is a Group Proposal<br><i>Is this a group application? Use if the answer is yes.</i>  |            |
|                | G6              | Historical Sites Are Affected<br><i>Are historical sites affected by the project? Use if the answer is yes. A yes response requires an explanation.</i>  |            |
|                | G7              | Facilities are Properly Accredited or Authorized<br><i>Are facilities properly accredited/authorized for this project? Use if the answer is no. A no response requires an explanation.</i>                 |            |
|                | G8              | Proprietary or Privileged Information will be contained in the Application<br><i>Is proprietary/privileged information included in the</i>   |            |

*application? Use if the answer is yes.*

- G9            This Project is in Violation of an Environmental Compliance Regulation  
*Is this project in violation of any environmental compliance regulation? Use if the answer is yes. A yes response requires an explanation.*
- H0            Organization Certifies Compliance with Federal Lobbying Regulations  
*Does the proposing organization certify compliance with Federal Lobbying Regulations? Use if the answer is no. A no response requires an explanation.*
- H1            Project involves the International Co-operative Act  
*Does this project involve international cooperative activities? Use if the answer is yes.*
- H2            Human Anatomical Substances Are Used  
*Are human anatomical substances used in this project? Use if the answer is yes.*
- H4            Lobbying Activities Have Been Conducted Regarding the Proposal  
*Have lobbying activities been conducted regarding the application? Use if the answer is yes. A yes response requires an explanation.*
- H5            Organization Certifies Compliance With the Drug-Free Workplace Act  
*Does the organization certify compliance with the Drug-Free Workplace Act of 1988? Use if the answer is no. A no response requires an explanation.*
- H6            Organization Certifies Compliance with the Code of Federal Regulations Regarding Research Misconduct  
*Does the organization certify compliance with the Code of Federal Regulations "Responsibility for Public Health Service (PHS) Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science" (42 CFR 50 Subpart A)? Use if the answer is no. A no response requires an explanation.*
- H7            Organization Provides a Smoke Free Workplace  
*Does the organization currently provide a smoke-free workplace and/or promote the non-use of tobacco products, or have plans to do so? Use if the answer is no.*
- H8            Organization Certifies Compliance with Federal Discrimination Regulations  
*Does the organization certify compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, and the Age Discrimination Act of 1975? Use if the answer is no.*
- H9            Organization Certifies Compliance with the Code of

Federal Regulations Regarding Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service (PHS) Funding is Sought  
*Does the organization certify compliance with the Code of Federal Regulations "Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought" (42 CFR 50, Subpart F) or National Science Foundation Financial Disclosure Policy (National Science Foundation (NSF) Grant Policy Manual, Section 510)? Use if the answer is no. A no response requires an explanation.*

- I7      Organization has Delinquent Federal Debts  
*Does the organization have any delinquent Federal debts? Use if the answer is yes. A yes response requires an explanation.*
- I8      Organization has been Placed on the Federal Debarment and Suspension List  
*Is the organization on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs or otherwise been determined NOT in compliance with Executive Orders on Debarment/Suspension? Use if the answer is yes. A yes response requires an explanation.*
- J1      Military Services Barred from Recruitment Activities at the Proposing Organization's Site(s)  
*Are Military Services barred from recruitment activities at the proposing organization's site(s)? Use if the answer is yes. A yes response requires an explanation.*
- J2      Rate Negotiated  
*Does the organization have a patient care rate agreement negotiated with the Department of Health and Human Services? Use if the answer is no. This code is used only in Procedure loops for in-patient human subjects.*
- J4      Project Requires Inter-Government Review for Activities that affect State or Local Government or Possible National Security Implications  
*Does the project require review under Executive Order No. 12372 for activities that directly affect state or local government or possible national security implications?*
- a. Cite Y in YNQ02 and identify the review date in YNQ04.
- b. Cite N in YNQ02 when the project is subject to the Executive Order but has not been selected for review.
- c. Do not use if the answer is No because the project is not covered by the Executive Order.
- NR      No Restrictions  
*Use to indicate that the applying organization gives permission to the Federal Government to announce the award and address-related information regarding the organization. Use if the answer is no.*

Must Use YNQ02

1073

Yes/No Condition or Response Code  
 Code indicating a Yes or No condition or response

M ID 1/1

*A Yes/No response relates to the code cited in the immediately preceding YNQ01 data element.*

|       |      |   |                                   |  |             |              |
|-------|------|---|-----------------------------------|--|-------------|--------------|
|       |      | N   | No                                |  |             |              |
|       |      | Y   | Yes                               |  |             |              |
| YNQ03 | 1250 | <b>Date Time Period Format Qualifier</b>  |                                   |  | <b>X ID</b> | <b>2/3</b>   |
|       |      | Code indicating the date format, time format, or date and time format   |                                   |  |             |              |
|       |      | D8  | Date Expressed in Format CCYYMMDD |  |             |              |
| YNQ04 | 1251 | <b>Date Time Period</b>   |                                   |  | <b>X AN</b> | <b>1/35</b>  |
|       |      | Expression of a date, a time, or range of dates, times or dates and times   |                                   |  |             |              |
|       |      | <i>When YNQ01 is code J4 and YNQ02 is code Y, use to identify the review date.</i>  |                                   |  |             |              |
| YNQ05 | 933  | <b>Free-Form Message Text</b>   |                                   |  | <b>O AN</b> | <b>1/264</b> |
|       |      | Free-form message text  |                                   |  |             |              |
|       |      | <i>Use as needed to provide explanatory text related to the codes selected in YNQ01/02. YNQ05/06/07 may be used as a continuous string of text.</i> |                                   |  |             |              |
| YNQ06 | 933  | <b>Free-Form Message Text</b>   |                                   |  | <b>O AN</b> | <b>1/264</b> |
|       |      | Free-form message text  |                                   |  |             |              |
| YNQ07 | 933  | <b>Free-Form Message Text</b>   |                                   |  | <b>O AN</b> | <b>1/264</b> |
|       |      | Free-form message text  |                                   |  |             |              |



|                        |   |
|------------------------|---|
| <b>Segment:</b>        | <b>N9</b> Reference Identification  |
| <b>Position:</b>       | 100   |
| <b>Loop:</b>           | N9  |
| <b>Level:</b>          | Detail  |
| <b>Usage:</b>          | Optional  |
| <b>Max Use:</b>        | 1   |
| <b>Purpose:</b>        | To transmit identifying information as specified by the Reference Identification Qualifier  |
| <b>Syntax Notes:</b>   | <ol style="list-style-type: none"> <li>1 At least one of N902 or N903 is required.</li> <li>2 If N906 is present, then N905 is required.</li> <li>3 If either C04003 or C04004 is present, then the other is required.</li> <li>4 If either C04005 or C04006 is present, then the other is required.</li> </ol>           |
| <b>Semantic Notes:</b> | <ol style="list-style-type: none"> <li>1 N906 reflects the time zone which the time reflects.</li> <li>2 N907 contains data relating to the value cited in N902.</li> </ol>   |
| <b>Comments:</b>       |   |
| <b>Notes:</b>          | <ol style="list-style-type: none"> <li>1. Use this N9 loop in various loops as indicated by the N901 codes.</li> <li>2. Specifically, use this N9 loop when HL03 is code PC (Project loop), SP (Sub-project loop) and CO (Consortium loop) to provide references and text descriptions related to the project.</li> </ol> |

## Data Element Summary

| <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------------------------|-------------------------------|--|-------------------|
| Must Use N901              | 128                           | Reference Identification Qualifier<br>Code Qualifying the Reference Identification   | M ID 2/3          |
|                            |                               | 3X Subcontract Number<br><i>Use this code once only when HL03 is code SP (Sub-project loop) or CO (Consortium loop) to indicate a unique identification number for the sub-project or consortium effort identified in this iteration of the HL loop.</i>   |                   |
|                            |                               | 43 Supporting Document Number<br><i>1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), 4 (Care Group loop), AS (Animal Subject loop), PD (Procedure loop), or IB (Previous Award loop), use to indicate that a matrix will follow. For example, when HL03 is code 4, a Gender and Minority inclusion matrix associated with the individuals making up the care group could follow. Cite the word MATRIX in N903 and use the 2/MTX/110 segment to identify the matrix title.</i><br><i>2. Use of the 2/INX/120 loop is REQUIRED to define the matrix.</i> |                   |
|                            |                               | 5S Processing Area<br><i>For nonresearch applications, use to indicate the type of submission as specified in the Federal Agency grant application instructions. This represents the project's purpose, e.g., construction, rehabilitation, planning, etc.</i>   |                   |
|                            |                               | 6M Application Number<br><i>1. Use to indicate the application number assigned by a reviewing organization (state, regional council, transit authority, etc.) taking action prior to the submission of the application to a Federal Agency.</i>  |                   |

F4

2. *Identify the reviewing organization in N903.*

**Facility Certification Number**

1. *Use to indicate the organization's Assurance of Compliance Number in N902; the type of review (FULL or EXPEDITED) in N903; and identify the Institution Review Board (IRB) approval date in N904.*

2. *When the number applies to all care groups, use this code in the Project loop (HL03 is code PC), in the applicable Sub-project loop (HL03 is code SP) or in the applicable Consortium (HL03 is code CO).*

3. *When the number applies to an individual care group, use this code in that Care Group loop (HL03 is code 4).*

4. *When an IRB approval has not been received, cite the word PENDING in N903.*

L4

**Proposal Paragraph Number**

1. *When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), 4 (Care Group loop), AS (Animal Subject loop), or PD (Procedure loop), use to indicate that N902 cites the Grant Application paragraph number that identifies the type of text that will appear in the following 2/MTX/110 segment. N903 may be used to provide an applicant-supplied title for that paragraph.*

2. *This N9/MTX combination provides the text data comprising the statement of work and other textual data associated with the application.*

M7

**Medical Assistance Category**

*When HL03 is code PD (Procedure loop), use is REQUIRED to indicate the type of patient processing. Cite one of the following codes in N902.*

*D for Donors*

*I for inpatient treatments*

*O for outpatient treatments*

WI

**Waiver**

1. *Use to indicate that the Department of Health and Human Services exemption category (1, 2, 3, 4, 5, or 6) number is cited in N902. See 45 CFR Part 46 for category definitions.*

2. *When the exemption applies to all care groups, use this code in the Project loop (HL03 is code PC) or in the applicable Sub-project loop (HL03 is code SP).*

3. *When the number applies to an individual care group, use the code in that Care Group loop (HL03 is code 4).*

Y9

**Current Certificate Number**

1. *Use to indicate the Animal Welfare Assurance Number. Use N904 to identify the Institutional Animal Care and Use Committee (IACUC) approval date.*

2. *When the number applies to all animal subject*

groups, use this code in the Project loop (HL03 is code PC), in the applicable Sub-project loop (HL03 is code SP) or in the applicable Consortium (HL03 is code CO).

3. When the numbers vary by animal subject groups, use this code in Animal Subject loop (HL03 is code AS).

4. When an IACUC approval has not been received, cite the word PENDING in N903.

YB

Revision Number

When BGN07 is code FM and HL03 is code PC (Project loop), use to indicate the Federal agency identification of a revised budget.

Must Use N902

127

**Reference Identification**

X AN 1/30

Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier

When N901 is code L4, cite the applicable Grant Application paragraph number from the following list:

*Para # Paragraph Title*

*A Abstract*

*B Project Description*

*B.1 Introduction*

*B.2 Aims*

*B.3 Background*

*B.4 Preliminary Studies*

*B.5 Research Design/Approach*

*B.6 Bibliography/References*

*C Project Resources & Environment*

*C.1 Personnel & Budget Justifications*

*C.2 Space/Facilities*

*C.3 Equipment*

*C.4 Other*

*C.5 Travel Justification*

*C.6 Alterations and Renovations*

*C.7 Supplies*

*E Explanations*

*E.1 Cert & Reps*

*E.2 Other Commitments*

*E.3 Mandatory Cost Sharing*

*E.4 Project Related Income*

*E.5 Special Project Considerations*

*E.6 Consortium/Contractual Arrangements*

*F Special Considerations*

*F.1 List of Reviewers (Include/Exclude)*

*F.2 Cover Letter*

*F.3 Free Text*

*G Human Subjects*

*G.1 Care Group*

*G.1.1 Demographic Information*

*G.1.2 Inclusion Criteria*

*G.1.3 Health Status*

*G.1.4 Description*

- G.1.5 *Rationale For Use*
- G.1.6 *Specimen Sources*
- G.1.7 *Other Support Justification*
- G.2 *Consent Data*
- G.2.1 *Recruitment Procedures*
- G.2.2 *Circumstances Requiring Consent*
- G.2.3 *Documentation Methods*
- G.2.4 *Description of any IRB Waivers*
- G.3 *Care Procedures*
- G.3.1 *Procedure Justification*
- G.3.2 *Procedure Risks*
- G.3.3 *Likelihood of Risks*
- G.3.4 *Seriousness of Risks*
- G.3.5 *Alternative Treatments*
- G.3.6 *Risks/Benefits Assessment*
- G.3.7 *Protections Against Risks*
- G.3.8 *Data Monitoring Techniques*
- G.3.9 *Intervention*
- G.4 *Donors*
- G.4.2 *Donor Justification*
- G.5 *Test Article*
- G.5.1 *Test Article Name*
- G.5.2 *Test Article Status (30-day Interval)*
- G.5.3 *FDA Restrictions on Use*

- H *Animals*
- H.1 *Species Description*
- H.1.1 *Purpose & Rationale*
- H.1.2 *Housing Explanation*
- H.2 *Veterinary Care*
- H.3 *Procedures to Limit Discomfort*
- H.4 *Euthanasia*
- H.4.1 *Description*
- H.4.2 *Rationale*
- H.5 *Noncompliance Explanation*

- I *Progress Report*
- I.1 *Specific Aims*
- I.2 *Results & Significance*
- I.3 *Plans*
- I.3.1 *Plans Specific Aims*
- I.3.2 *Human Subject Changes*
- I.3.3 *Invertebrate Animal Changes*
- I.4 *Project Generated Resources*
- I.5 *Significant Unobligated Balances*
- I.6 *Inventions (Title, Name of inventor(s))*

- J *Special Program Cross-Cuts*
- J.1 *Beginning Investigator*
- J.2 *Small Grant For Exploratory Research*
- J.4 *Facilitation for Scientific & Engineers with Disabilities*
- J.5 *Research Opportunity Award*
- J.6 *Single Investigator*
- J.7 *Young Investigator*
- J.8 *Short-term Innovative Research Program*
- J.9 *Research Instrumentation Program*
- J.10 *Historically Black College or University/Minority Institution Award*

- K *Research Career Award*
- K.1 *The Candidate*

- K.1.1 *Letters of Reference*
- K.1.2 *Candidate's Background*
- K.1.3 *Career Goals and Objectives: Scientific Biography*
- K.1.4 *Career Development Activities during Award Period*
- K.2 *Statements by Sponsors, Consultants, and Collaborators*
- K.3 *Environment and Institutional Commitment to Candidate*
- K.3.1 *Description of Institutional Environment*
- K.3.2 *Institutional Commitment*

- L *Research Training Program Plan*
- L.1 *Introduction to Revised Application*
- L.2 *Introduction to Supplemental Application*
- L.3 *Background*
- L.4 *Program Plan*
- L.4.1 *Program Direction*
- L.4.2 *Program Faculty*
- L.4.3 *Proposed Training*
- L.4.4 *Trainee Candidates*
- L.5 *Recruitment of Individuals*
- L.6 *Responsible Conduct of Research*

M *Potential Applications of Research*

|      |     |  |                  |
|------|-----|--|------------------|
| N903 | 369 | <b>Free-form Description</b>   | <b>X AN 1/45</b> |
|      |     | Free-form descriptive text   |                  |
|      |     | 1. When N901 is code L4, use to identify the Grant Application paragraph title or an alternative title preferred by the grant applicant.   |                  |
|      |     | 2. When N901 code F4, use to identify the type of IRB review. Cite either the word <i>FULL</i> or <i>EXPEDITED</i> .   |                  |
|      |     | 3. When N901 is code 6M, use to identify the reviewing organization. For a state government, cite only the two position postal code abbreviation for the state, e.g., CA, KS, FL, VT, etc. |                  |
| N904 | 373 | <b>Date</b>  | <b>O DT 6/6</b>  |
|      |     | Date (YYMMDD)  |                  |
|      |     | 1. When HL03 is code 4 (Care Group loop) and N901 is code F4, use to identify the IRB approval date.   |                  |
|      |     | 2. When HL03 is code AS (Animal Subject loop) and N901 is code Y9, use to identify the IACUC approval date.  |                  |
|      |     | 3. When N901 is code 6M, use to identify the date approved by the reviewing organization.  |                  |



**Segment:** **L11** Business Instructions  
**Position:** 105  
**Loop:** N9  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify instructions in this business relationship  
**Syntax Notes:** 1 At least one of L1101 or L1103 is required.  
 2 If either L1101 or L1102 is present, then the other is required.  
**Semantic Notes:**  
**Comments:**  
**Notes:** *When N901 is code 43, use to identify the brand name of the spreadsheet software and its version and release number.*

## Data Element Summary

| Ref.<br><u>Des.</u> | Data<br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
|---------------------|------------------------|--|-------------------|
| L1101               | 127                    | <b>Reference Identification</b><br>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier   | X AN 1/30         |
| L1102               | 128                    | <b>Reference Identification Qualifier</b><br>Code Qualifying the Reference Identification<br>ZS Software Application Number<br><i>Use to indicate the brand name of the spreadsheet software and its version and release number. For example, Excel 4.0.</i> | X ID 2/3          |

|                        |  |
|------------------------|--|
| <b>Segment:</b>        | <b>MTX</b> Text  |
| <b>Position:</b>       | 110  |
| <b>Loop:</b>           | N9   |
| <b>Level:</b>          | Detail   |
| <b>Usage:</b>          | Optional   |
| <b>Max Use:</b>        | >1   |
| <b>Purpose:</b>        | To specify textual data  |
| <b>Syntax Notes:</b>   | <p>1 If MTX01 is present, then MTX02 is required.</p> <p>2 If MTX03 is present, then MTX02 is required.</p>  |
| <b>Semantic Notes:</b> |  |
| <b>Comments:</b>       |  |
| <b>Notes:</b>          | <p>1. When N901 is code 43, use this MTX segment to provide matrix title.</p> <p>2. When N901 is code L4, use this segment to provide text that is associated with the Grant Application paragraph number cited in N902.</p> |

### Data Element Summary

| Data Element Summary |                            |                               |   |                   |    |        |
|----------------------|----------------------------|-------------------------------|---|-------------------|----|--------|
|                      | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>                               | <u>Attributes</u> |    |        |
| Must Use             | MTX02                      | 1551                          | Message Text                              | X                 | AN | 1/4096 |
|                      |                            |                               | To transmit large volumes of message text |                   |    |        |
|                      | MTX03                      | 1551                          | Message Text                              | O                 | AN | 1/4096 |
|                      |                            |                               | To transmit large volumes of message text |                   |    |        |

|                        |  |
|------------------------|--|
| <b>Segment:</b>        | <b>INX</b> Index Detail  |
| <b>Position:</b>       | 120  |
| <b>Loop:</b>           | INX  |
| <b>Level:</b>          | Detail   |
| <b>Usage:</b>          | Optional   |
| <b>Max Use:</b>        | 1  |
| <b>Purpose:</b>        | To specify an index  |
| <b>Syntax Notes:</b>   | 1 If either C03602 or C03603 is present, then the other is required.<br>2 At least one of C03602 or C03604 is required.<br>3 If either C03604 or C03605 is present, then the other is required.  |
| <b>Semantic Notes:</b> |  |
| <b>Comments:</b>       |  |
| <b>Notes:</b>          | 1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), 4 (Care Group loop), AS (Animal Subject loop), PD (Procedure loop), or IB (Previous Award loop), use to identify data in a matrix (spreadsheet) format.<br><br>2. Use this INX segment to define the pattern and range of cells within the matrix and the 2/K3/130 segment to define the content of the cell(s) specified by the INX.<br><br>3. For purposes of this IC, cells will be identified in a manner typical of computer spreadsheets. That is, the columns will be identified by a letter A, B, C ... and the rows by a number 1, 2, 3 ... The column and row titles (text descriptions) are <b>REQUIRED</b> to be included in the matrix. In specifying ranges it is not necessary to specify a continuous series of cells within a row or column; they can be broken into subsets. However, when all iterations of the INX loop are complete, the entire matrix should be complete. |

## Data Element Summary

| Ref.           | Data    | Name  | Attributes |
|----------------|---------|---|------------|
| Des.           | Element |   | M ID 1/2   |
| Must Use INX01 | 1550    | Index Qualifier<br>Code identifying an index  |            |
|                |         | 1. Use code 1 or 2 once per matrix to indicate the start of the matrix. Use multiple iterations as needed citing codes 3 or 4 to define additional cell ranges to be loaded within a single matrix.                       |            |
|                |         | 2. In an absolute reference (codes 1 and 3) use the alphanumeric identifiers (e.g., A1) in INX02-2 and INX02-3 to identify the range of cells to be loaded.   |            |
|                |         | 3. In a relative reference (codes 2 and 4), use the alphanumeric identifier, e.g., B3, in INX02-2 to identify the specific cell to start at and in INX02-3, provide a count of cells to load starting from that location. |            |
|                |         | 4. EXAMPLE OF AN ABSOLUTE LOAD PATTERN LOADING 15 CELLS (A1...E1, A2...E2, A3...E3): INX*1*1:A1:E3 n/l  |            |
|                |         | 5. EXAMPLE OF A RELATIVE LOAD PATTERN THAT STARTS AT CELL B3 AND LOADS 3 CELLS TOP TO BOTTOM: INX*2*3:B3:3 n/l  |            |
|                |         | 1 Matrix Start - Absolute Reference   |            |
|                |         | 2 Matrix Start - Relative Reference   |            |
|                |         | 3 Matrix Continuation - Absolute Reference  |            |
|                |         | 4 Matrix Continuation - Relative Reference  |            |
| Must Use INX02 | C036    | Index Identification  | M          |
|                |         | To identify an index  |            |
| C03601         | 1395    | Configuration Type Code   | O ID 1/1   |
|                |         | Code defining how information is being grouped or arrayed   |            |
|                |         | Use to indicate the pattern of loading the cells.   |            |

|        |     |  |                           |   |    |      |
|--------|-----|--|---------------------------|---|----|------|
|        |     | 1  | Horizontal, Left to Right |   |    |      |
|        |     | 2  | Horizontal, Right to Left |   |    |      |
|        |     | 3  | Vertical, Top to Bottom   |   |    |      |
|        |     | 4  | Vertical, Bottom to Top   |   |    |      |
|        |     | 5  | Individual Cell           |   |    |      |
| C03602 | 127 | <b>Reference Identification</b>  |                           | X | AN | 1/30 |
|        |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier                    |                           |   |    |      |
|        |     | <i>In either an absolute or relative reference, use to identify the cell that begins the range of a load operation, e.g., B3.</i>              |                           |   |    |      |
| C03603 | 127 | <b>Reference Identification</b>  |                           | X | AN | 1/30 |
|        |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier                    |                           |   |    |      |
|        |     | <i>1. When INX01 is code 1 or 3 (absolute reference), use to describe the cell which ends this iteration of the load operation, e.g., E3.</i>  |                           |   |    |      |
|        |     | <i>2. When INX01 is code 2 or 4 (relative reference), use to provide a count of the number of cells from the specified start to be loaded.</i> |                           |   |    |      |
| C03604 | 863 | <b>X-Peg</b>   |                           | X | R  | 1/6  |
|        |     | Horizontal distance from the edge to the center of the peg hole (measured from the left)   |                           |   |    |      |
|        |     | <i>Use only when INX02-1 is code 5 (individual cell) to identify the column letter of a single cell to be loaded.</i>                          |                           |   |    |      |
| C03605 | 864 | <b>Y-Peg</b>   |                           | X | R  | 1/6  |
|        |     | The vertical distance from the edge to the center of the peg hole as specified by the peg code   |                           |   |    |      |
|        |     | <i>Use only when INX02-1 is code 5 (individual cell) to identify the row number of a single cell to be loaded.</i>                             |                           |   |    |      |

**Segment:** **K3** File Information  
**Position:** 130  
**Loop:** INX  
**Level:** Detail  
**Usage:** Mandatory  
**Max Use:** >1  
**Purpose:** To transmit a fixed-format record or matrix contents  
**Syntax Notes:**  
**Semantic Notes:** 1 K303 identifies the value of the index.  
**Comments:** 1 The default for K302 is content.  
**Notes:** *Use multiple repetitions as needed of this K3 segment within a 2/INX/120 loop iteration to identify each cell within the beginning and ending range identified by the INX segment.*

## Data Element Summary

| Ref.          | Data           |   |                   |
|---------------|----------------|---|-------------------|
| <u>Des.</u>   | <u>Element</u> | <u>Name</u>   | <u>Attributes</u> |
| Must Use K301 | 449            | <b>Fixed Format Information</b><br>Data in fixed format agreed upon by sender and receiver<br><i>Use to identify the cell contents.</i> | <b>M AN 1/80</b>  |



**Segment:** **PPL Price Support Data**  
**Position:** 170  
**Loop:** PPL  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To provide information about pricing support  
**Syntax Notes:**  
**Semantic Notes:** 1 PPL02 is the start date.  
 2 PPL03 is the end date.  
**Comments:**  
**Notes:** 1. When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop), use of this segment is **REQUIRED** to provide project total price. Use a single iteration of this PPL loop and within it a single iteration of the 2/PD/190 loop to provide this project total price.  
 2. When detailed budget data is being provided in this transaction set, use subsequent iterations of the PPL loop to identify each budget period (e.g., a project with a planned duration of 2 budget periods would utilize 3 iterations of the PPL loop). Use the 2/PD/190 loop to provide costs for specific budget categories (salaries, equipment, etc.).

**Data Element Summary**

| Ref.     | Data    |      |   |            |    |      |  |  |  |
|----------|---------|------|---|------------|----|------|--|--|--|
| Des.     | Element | Name | Description   | Attributes |    |      |  |  |  |
| PPL04    | 352     |      |   | O          | AN | 1/80 |  |  |  |
|          |         |      | A free-form description to clarify the related data elements and their content  |            |    |      |  |  |  |
|          |         |      | 1. In one iteration of this PPL segment within the Project and any Subproject and Consortium loops, the letter T is <b>REQUIRED</b> to indicate the total project price. When instructed in the solicitation or announcement, also provide the project totals by category.              |            |    |      |  |  |  |
|          |         |      | 2. When data is being provided by budget period in additional PPL segment iterations, cite 1, 2, 3, etc. to identify the budget periods.  |            |    |      |  |  |  |
| Must Use | PPL05   | 1401 | Proposal Data Detail Identifier Code  | O          | ID | 1/3  |  |  |  |
|          |         |      | Code identifying the basis of a cited value in a proposal   |            |    |      |  |  |  |
|          |         |      | Use to indicate whether the values in PD/PDD are the actual unadjusted cost for the budget item without reductions to accommodate nonFederal cost sharing contributions or the requested cost for the budget item with reductions to accommodate nonFederal cost sharing contributions. |            |    |      |  |  |  |
|          |         | AA   | Actual Amount   |            |    |      |  |  |  |
|          |         |      | Use to indicate that the values in PD/PDD are the actual unadjusted cost for the budget item. No reductions have been made to accommodate nonFederal cost sharing contributions (code 88).  |            |    |      |  |  |  |
|          |         | AC   | Negotiated Amount   |            |    |      |  |  |  |
|          |         |      | Use to indicate that the values in PD/PDD are the requested cost for the budget item. Reductions have been made to accommodate nonFederal cost sharing contributions (code 88).   |            |    |      |  |  |  |

**Segment:** **PD Pricing Data**  
**Position:** 190  
**Loop:** PD  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To describe the pricing basic input detail  
**Syntax Notes:**  
**Semantic Notes:**

- 1 PD01 is the unit of the time period contained in PD02.
- 2 PD02 is the date of the start of the time period in PD01.
- 3 PD04 is the quantity of the unit of measurement in PD03.
- 4 PD05 is the name of the cost element being proposed.
- 5 PD06 is the description of the name of the cost element being proposed.
- 6 PD08 is a reference to a specific paragraph number contained in an external document.
- 7 PD09 is the category of the data being proposed.

**Comments:**  
**Notes:** *Use this PD loop to identify budget categories, rates, and totals associated with a category. Use the PD segment to identify the name of a category and the PDD segment to identify the amounts budgeted for the category*

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|--|-------------------|
| Must Use | PD01                       | 344                           | <b>Unit of Time Period or Interval</b><br>Code indicating the time period or interval<br><i>1. Cite the appropriate code to indicate the period defined for this budget category.</i><br><i>2. For budget categories where a period is NOT applicable (e.g., supplies, equipment), cite code CC in order to meet the X12 syntax requirements of this data element.</i><br>AP Academic Period<br>CC Cycles<br><i>Use to indicate a budget period not described by another code.</i><br>CY Calendar Year<br>SP Summer Period | <b>M ID 2/2</b>   |
| Must Use | PD02                       | 373                           | <b>Date</b><br>Date (YYMMDD)<br><i>Use is REQUIRED to identify the beginning date for the period indicated in PD01.</i>  | <b>M DT 6/6</b>   |
| Must Use | PD03                       | C001                          | <b>Composite Unit of Measure</b><br>To identify a composite unit of measure(See Figures Appendix for examples of use.)   | <b>M</b>          |
| Must Use | C00101                     | 355                           | <b>Unit or Basis for Measurement Code</b><br>Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken<br>DO Dollars, U.S.<br>P1 Percent<br><i>Use when the PD07 category requires a percentage (e.g., indirect charges, fringe benefits).</i>  | <b>M ID 2/2</b>   |
|          | C00104                     | 355                           | <b>Unit or Basis for Measurement Code</b><br>Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken  | <b>O ID 2/2</b>   |

*Use, if applicable, only when PD03-1 is code DO.*

8S Session

*Use to indicate the individual's or labor category's base salary for the period specified in PD01, i.e., year, academic period, etc.*

HR Hours

*Use to indicate an amount priced on an hourly basis.*

MO Months

*Use to indicate an amount priced on a monthly basis.*

YR Years

*Use to indicate an amount priced on an annual basis.*

**Must Use PD04**

**380**

**Quantity**

**M R 1/15**

Numeric value of quantity

1. When PD03-4 is 8S, use to identify the individual's or labor category's base salary for the period specified in PD01.

2. When PD03-4 is code HR, MO, or YR, use to identify the related amount (dollars/hour, dollars/month, dollars/year) applicable to the budget category, e.g., labor, rentals, services, etc.

3. When PD03-1 is code P1, use to identify a percentage rate (e.g., fringe benefits and indirect costs). Cite 50% as 50; cite 50.25 % as 50.25 (note: leading and trailing zeros are suppressed).

4. When PD03-1 code DO and PD03-4 is not used, use to indicate a discrete amount is specified in PDD03. Cite 1 to meet the rules of X12 syntax. This PD04 value of 1 should not be used by the receiving application.

**Must Use PD05**

**93**

**Name**

**M AN 1/35**

Free-form name

1. Use is **REQUIRED** to identify a budget category by a "short-hand" or coded means.

2. If desired, this name can be taken from the organization's cost accounting system.

**PD06**

**352**

**Description**

**O AN 1/80**

A free-form description to clarify the related data elements and their content

When PD05 carries a short-hand description taken from a cost accounting system that is not readily understandable, use to identify the budget category in a free-form text "long-hand" description. A "long-hand" description only needs to be provided the first time the "short-hand" name is used.

**Must Use PD07**

**1196**

**Breakdown Structure Detail Code**

**O ID 2/2**

Codes identifying details relating to a reporting breakdown structure tree

Use to identify the budget category or aggregated costs applicable to this PD loop.

01 Labor

*Use to indicate direct labor wage/salary. Aggregate direct labor wage/salary into Total Direct Labor (code 70).*

03 Other Direct Costs (ODC)

*Use to indicate the Total Other Direct Costs. This is the sum of codes 04, 39, 43, 46, 55, 80, 81, 82, 86, 87, and ZZ. Aggregate this sum into Total Direct Costs (code 84).*

04 Subcontract

1. When HL03 is code PC (Project loop), use to indicate the sum of all subawards within the Project. Aggregate into Total Other Direct Costs (code 03).

2. When HL03 is code SP (Sub-project loop) or CO (consortium loop), use to indicate subcontracts and second-tier consortium contracts budgeted within this loop. Aggregate into Total Other Direct Costs (code 03).

06 Labor Overhead

Use to indicate Labor Overhead (excludes fringe benefits). Aggregate into Total Indirect Costs (code 09).

09 Total Overhead

Use to indicate the Total Indirect Costs. This is either the sum of Labor Overhead (code 06) and General and Administrative (G&A) (code 33) or a discrete amount. Aggregate into Total Cost (code 38).

18 Funds Appropriation

Use to indicate a cash contribution. Aggregate all cash contributions in Total Contribution (code 88).

28 Total

Use to indicate the Total Amount Requested. This is the sum of the Total Cost (code 38) and any applicable Profit or Fee (code 35). Aggregate into Total Project Cost (code 36).

33 General & Administrative

Aggregate into Total Indirect Costs (code 09).

35 Profit or Fee

Use in SBIR, STTR, and other appropriate applications to indicate a fixed-fee. Aggregate into Total Amount Requested (code 28).

36 Total Price

Use to indicate the Total Project Cost. Total Project Cost is the sum of Total Amount Requested (code 28) and the Cost Sharing contribution (code 88).

38 Total Cost Plus General & Administrative

Use to indicate Total Cost. This is the sum of Total Direct Costs (code 84) and Total Indirect Costs (code 09). Aggregate into Total Amount Requested (code 28).

39 Other Costs

Use to indicate items within Other Direct Costs that are not identified by a specific code. Aggregate into Total Other Direct Costs (code 03).

42 Purchased Equipment

Use to indicate the acquisition of permanent equipment. Aggregate into Total Purchased Equipment (code 72).

43 Materials and Purchased Items

Use to indicate total material and supplies. Do not itemize the individual items. Aggregate into Total Other Direct Costs (code 03).



- 46 **Commercial Effort**  
*Use to indicate costs associated with ancillary service contracts. Aggregate into Total Other Direct Costs (code 03).*
- 48 **Indirect Labor**  
*Use to indicate Total Fringe Benefits. This is the sum of all Employee Benefits (code 49). Aggregate into Total Labor Costs (code 71).*
- 49 **Employee Benefits**  
*Use to indicate individual or labor category fringe benefits. Aggregate into Total Fringe Benefits (code 48).*
- 52 **Communications and Travel**  
*Use to indicate Total Travel. This is the sum of domestic travel (code 73) and foreign travel (code 74). Aggregate into Total Direct Costs (code 84).*
- 55 **Facilities - Furniture and Equipment**  
*Use to indicate the cost of equipment maintenance. Aggregate into Total Other Direct Costs (code 03).*
- 56 **Administration**  
*Use to indicate Participant insurance. Aggregate into Participant Total Costs (code 79).*
- 58 **Credits**  
*Use to indicate participant fees. Aggregate into Participant Total Costs (code 79).*
- 70 **Total Salaries and Wages**  
*Use to indicate Total Direct Labor. This is the sum of all Labor (code 01). Aggregate into Total Labor Costs (code 71).*
- 71 **Total Salaries and Wages and Employee Benefits**  
*Use to indicate Total Labor Costs. This is the sum of Total Direct Labor Costs (code 70) and Total Fringe Benefits (code 48). Aggregate into Total Direct Costs (code 84).*
- 72 **Total Purchased Equipment**  
*Use to indicate Total Purchased Equipment. This is the sum of all Purchased Equipment (code 42). Aggregate into Total Direct Costs (code 84).*
- 73 **Travel - Domestic**  
*Aggregate into Total Travel (code 52).*
- 74 **Travel - Foreign**  
*Aggregate into Total Travel (code 52).*
- 75 **Participant Stipends**  
*Aggregate into Participant Total Costs (code 79).*
- 76 **Participant Tuition & Fees**  
*Use to indicate participant tuition. Aggregate into Participant Total Costs (code 79).*
- 77 **Participant Travel**  
*Aggregate into Participant Total Costs (code 79).*
- 78 **Participant Other**  
*Includes training related expenses. Aggregate into Participant Total Costs (code 79).*



|    |   |
|----|---|
| 79 | <b>Participant Total</b><br><i>Use to indicate Participant Total Costs. This is the sum of codes 56, 58, 75, 76, 77, 78, and EX. Aggregate into Total Direct Costs (code 84).</i>   |
| 80 | <b>Publication Costs</b><br><i>Aggregate into Total Other Direct Costs (code 03).</i>   |
| 81 | <b>Consultant Services</b><br><i>Aggregate into Total Other Direct Costs (code 03).</i>   |
| 82 | <b>Computer Automated Data Processing (ADP) Services</b><br><i>Aggregate into Total Other Direct Costs (code 03).</i>   |
| 83 | <b>Funding From Non-Federal Sources</b><br><i>Use to indicate an in-kind contribution. Aggregate all in-kind contributions in Total Contribution (code 88).</i>   |
| 84 | <b>Total Direct Costs</b><br><i>Use to indicate Total Direct Costs. This is the sum of codes 03, 52, 71, 72, 79, 85 and BL. Aggregate into Total Costs (code 38).</i>   |
| 85 | <b>Human Subject Costs</b><br><i>Use to indicate the total inpatient costs. Aggregate into Total Direct Costs (code 84).</i>  |
| 86 | <b>Animal Costs</b><br><i>Aggregate into Total Other Direct Costs (code 03).</i>  |
| 87 | <b>Alternations and Renovations</b><br><i>Aggregate into Total Other Direct Costs (code 03).</i>  |
| 88 | <b>Cost Sharing</b><br><i>1. Use to indicate the grant applicant organization's Total Contribution to the project; this includes cash (code 18) and in-kind contributions (code 83) from non-Federal sources.</i><br><i>2. When PPL05 is code AA, this is a negative amount.</i><br><i>3. When PPL05 is code AC, this is a positive amount.</i> |
| BL | <b>Billings</b><br><i>Use to indicate the total outpatient costs. Aggregate into Total Direct Costs (code 84).</i>  |
| EX | <b>Expenditures</b><br><i>Use to indicate participant subsistence. Aggregate into Participant Total Costs (code 79).</i>  |
| ZZ | <b>Mutually Defined</b><br><i>Use to indicate rent/lease of equipment/facilities. Aggregate into Total Other Direct Costs (code 03).</i>  |

|             |            |  |                  |
|-------------|------------|--|------------------|
| <b>PD08</b> | <b>127</b> | <b>Reference Identification</b>  | <b>O AN 1/30</b> |
|             |            | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier  |                  |
|             |            | 1. When PD07 is code 01 or 49, and PD09 is a project role, use is <b>REQUIRED</b> to identify the name of the individual. Use of last name, first name and middle initial is preferred. Place a space between the name components. |                  |
|             |            | 2. When PD07 is code 01 or 49 and PD09 is a labor category, use is   |                  |

*REQUIRED to identify the number of persons budgeted within that category. In addition to project employee categories, this includes categories for trainees, participants, and consultants.*

*3. For other PD07 categories, use as needed to identify a named individual to whom the cost pertains*

PD09

352

**Description**

**O AN 1/80**

A free-form description to clarify the related data elements and their content

*1. When PD07 is code 01 or 49, use is REQUIRED to identify the project role of the individual named in PD08 or a labor category. For labor categories, include words that describe the type of personnel (e.g., graduate students, donors, speakers, trainees, participants, clerical support, lab technicians) and identify the number of persons budgeted within the category in PD08.*

*2. When PD07 is code 73, or 74, use to identify the destination for the travel.*

*3. When PD07 is code 42, use is REQUIRED to identify the nomenclature of the equipment being purchased.*

*4. When PD07 is code 18 or 83, use as needed to identify the source of the contribution, e.g., applicant, state, county, etc.*

*5. For other PD07 categories, use as needed to provide additional information necessary to describe the category.*

*4. For other categories, use to provide additional information necessary to describe the category, as needed, including the identification of a named individual to whom the cost pertains.*

**Segment:** **PDD Pricing Data Detail**  
**Position:** 200  
**Loop:** PD  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To provide the rates, direct input, and pricing factors for each element of work, cross-referenced to an applicable request or submission  
**Syntax Notes:** 1 At least one of PDD02 PDD03 or PDD04 is required.  
**Semantic Notes:** 1 PDD01 is a sequential number assigned by the initiator.  
**Comments:**  
**Notes:** 1. Use of this PDD segment is *REQUIRED* for each iteration of the PD segment.  
 2. Use of this PDD segment is *LIMITED* to ONE occurrence per PD loop iteration.

## Data Element Summary

| Ref.           | Data           |   |                   |
|----------------|----------------|---|-------------------|
| <u>Des.</u>    | <u>Element</u> | <u>Name</u>   | <u>Attributes</u> |
| Must Use PDD01 | 350            | <b>Assigned Identification</b><br>Alphanumeric characters assigned for differentiation within a transaction set<br><i>Use is REQUIRED to identify the number of months in the period specified in PD01.</i>   | M AN 1/20         |
| PDD02          | 380            | <b>Quantity</b><br>Numeric value of quantity<br>1. When PD03-1 is code P1, use to indicate the base amount in dollars.<br>2. When PD03-1 is code DO and PD03-4 is code 8S, use to indicate the level of effort in months for the period.<br>3. When PD03-1 is code DO and PD03-4 is code HR, MO, or YR, use to indicate the quantity of the time units applicable to the rate in PD04.<br>4. When PD07 is code 79, use to identify the total quantity of subjects.<br>5. When PD07 is code 42, use to identify the quantity of items being purchased, if applicable.<br>6. When PD07 is code 73 or 74, use to identify the total quantity of trips. | X R 1/15          |
| Must Use PDD03 | 782            | <b>Monetary Amount</b><br>Monetary amount<br>1. Use to identify the amount requested for the budget category in PD07.<br>2. When PD07 is code 83 or 88, use to identify the amount contributed.<br>3. When PD03-1 is code P1, identify the product of the rate in PD04 times the base amount in PDD02.  | X R 1/15          |
| PDD04          | 954            | <b>Percent</b><br>Percentage expressed as a decimal<br><i>When PD03-1 is code DO and PD03-4 is code 8S, use with key personnel to indicate their average level of effort for the period. Cite 50% as 50; cite 50.25 % as 50.25 (note: leading and trailing zeros are suppressed).</i>   | X R 1/10          |

**Segment:** **LX** Assigned Number  
**Position:** 330  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To reference a line number in a transaction set  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**  
**Notes:** *Use this LX loop to provide information regarding individuals and organizations associated with the project.*

## Data Element Summary

| Ref.          | Data           |  |                   |
|---------------|----------------|--|-------------------|
| <u>Des.</u>   | <u>Element</u> | <u>Name</u>  | <u>Attributes</u> |
| Must Use LX01 | 554            | Assigned Number  | M N0 1/6          |
|               |                | Number assigned for differentiation within a transaction set   |                   |
|               |                | <i>In the first iteration of this LX loop, cite 1. In each subsequent iteration, increment by 1.</i> |                   |

|                        |   |
|------------------------|---|
| <b>Segment:</b>        | <b>NM1</b> Individual or Organizational Name  |
| <b>Position:</b>       | 340   |
| <b>Loop:</b>           | LX  |
| <b>Level:</b>          | Detail  |
| <b>Usage:</b>          | Optional  |
| <b>Max Use:</b>        | 1   |
| <b>Purpose:</b>        | To supply the full name of an individual or organizational entity   |
| <b>Syntax Notes:</b>   | <ol style="list-style-type: none"> <li>1 If either NM108 or NM109 is present, then the other is required.</li> <li>2 If NM111 is present, then NM110 is required.</li> </ol>  |
| <b>Semantic Notes:</b> | 1 NM102 qualifies NM103.  |
| <b>Comments:</b>       | 1 NM110 and NM111 further define the type of entity in NM101.   |
| <b>Notes:</b>          | <ol style="list-style-type: none"> <li>1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use of this segment is <b>REQUIRED</b> to identify all key personnel and their biographical data. A single use of code 9P is <b>REQUIRED</b> and may only be used when HL03 is code PC (Project loop). Use codes 17, 61, 9K, 9S, and EY as needed. Use code K8 to identify the Federal agency with whom indirect rates were negotiated.</li> <li>2. When HL03 is code SP (Sub-project loop), use code 1P as needed to identify the responsible organization.</li> <li>3. When HL03 is code CO (Consortium loop), use code 1P and 75 to identify the responsible and participating organizations.</li> <li>4. When HL03 is code IB (Previous Award loop), use is <b>REQUIRED</b> to identify all personnel participating in the previously awarded project. Use of code 9P is <b>REQUIRED</b>; use codes 9K, 9S, and EY as needed. Also use code AZ to indicate a change in principal investigators, if applicable.</li> <li>5. When HL03 is code PD (Procedure loop) or AS (Animal Subject loop), use of this segment is <b>REQUIRED</b> with code 61 to identify the facility(s) where procedures will be performed or where animals will be housed.</li> <li>6. When HL03 is code 26 (Key Person loop), use of this segment is <b>REQUIRED</b> to identify the Key Person, using code 9K. Use of this NM1 segment is <b>LIMITED</b> to ONE occurrence per Key Person loop.</li> <li>7. When HL03 is code OS (Other Support loop), use of this segment with code 92 is <b>REQUIRED</b> to indicate the supporting organization. If the individual in the parent Key Person loop is not the Other Support project principal investigator, also use code 9P to identify the principal investigator's name.</li> <li>8. NM101 codes 9P, 9S, and AZ require: <ol style="list-style-type: none"> <li>a. an individual to be named (use NM103/04/05/06/07);</li> <li>b. their affiliated organization if different than the applicant organization (use NM108/09 or N2);</li> <li>c. their position title (use N9).</li> </ol> </li> <li>9. For NM101 codes 17, 9K, and EY provide to the extent known: <ol style="list-style-type: none"> <li>a. an individual to be named (use NM103/04/05/06/07);</li> <li>b. their affiliated organization (use NM108/09 or N2) ;</li> <li>c. their position title (use N9).</li> </ol> <p>The project role of the individual is <b>REQUIRED</b> in EMS01.</p> </li> <li>10. When NM101 is code 1P, 20, 61, 75, 92, and K8, use to identify an organization. Whenever possible, identify the organization using only a qualifier and number in NM108/09. The organization's full address was established at the time of registration as a Federal Government trading partner. Where no qualified number is available, specify the organization's name in the NM103 (and N2 as needed) and the full address in N3-N4.</li> </ol> |



## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes<br>M ID 2/2 |
|----------------|-----------------|--|------------------------|
| Must Use NM101 | 98              | Entity Identifier Code   |                        |
|                |                 | Code identifying an organizational entity, a physical location, or an individual   |                        |
|                | 17              | Consultant's Office  |                        |
|                |                 | <i>When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use multiple occurrences as needed to indicate the name of a consultant. DO NOT USE if the consultant is identified as a key person (code 9K).</i>   |                        |
|                | 1P              | Provider   |                        |
|                |                 | <i>When HL03 is code SP (Sub-project loop), or CO (Consortium loop), use to indicate the organization responsible for the Subproject or Consortium if different from the organization submitting the application (NM101 code SE in the 1/NM1/090 segment).</i>   |                        |
|                | 20              | Foreign Supplier   |                        |
|                |                 | <i>When 2/YNQ/090 is code H1, use multiple iterations as needed to indicate foreign organizations participating in the application.</i>  |                        |
|                | 61              | Performed At   |                        |
|                |                 | <i>1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or OS (Other Support loop), use multiple iterations as needed to indicate the location(s) where project work will be performed if different from or in addition to the location identified by NM101 code 1P or NM101 code SE in the 1/NM1/090 segment.</i> |                        |
|                |                 | <i>2. When HL03 is code PD (Procedure loop), use to indicate the hospital where in-patient care group members will receive care or out-patient procedures will be performed.</i>   |                        |
|                |                 | <i>3. When HL03 is code AS (Animal Subject loop), use is REQUIRED to indicate the facility where the tests will be conducted or where animals will be housed.</i>  |                        |
|                | 75              | Participant  |                        |
|                |                 | <i>When HL03 is code CO (Consortium loop), use multiple iterations as needed to indicate the participating organizations within the consortium in addition to the organization identified by NM101 code 1P.</i>  |                        |
|                | 92              | Support Party  |                        |
|                |                 | <i>When HL03 is code OS (Other Support loop), use is REQUIRED to identify the active, pending, or planned support organization.</i>  |                        |
|                | 9K              | Key Person   |                        |
|                |                 | <i>When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), 26 (Key Person loop), or IB (Previous Award loop), use to indicate a project Key Person.</i>  |                        |
|                | 9P              | Investigator   |                        |
|                |                 | <i>1. When HL03 is code PC (Project loop) or IB (Previous Award loop), use is REQUIRED to indicate the Principal Investigator. There can only be one Principal Investigator in the PC or IB loop.</i>  |                        |

2. When HL03 is code OS (Other Support loop) and the individual in the parent Key Person loop is not the Other Support project principal investigator, use to identify the principal investigator's name.

3. This code may only be used when HL03 is code PC, IB, or OS.

9S Co-Investigator

When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or IB (Previous Award loop), use to indicate a co-investigator.

AZ Previous Name

When HL03 is code IB (Previous Award loop), use to indicate a predecessor principal investigator in the previous award.

EY Employee Name

1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or IB (Previous Award loop), use to indicate employees (nonclerical) other than principal and co-investigators and Key Personnel.

2. For Previous Award loops, cite each employee by individual name.

K8 Filing Location

When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), use to indicate the Department of Health and Human Services (DHHS) regional office or other organization with whom the indirect rate has been negotiated.

| Must Use | NM102 | 1065  | Entity Type Qualifier<br>Code qualifying the type of entity                              | M | ID | 1/1  |
|----------|-------|---|--|---|----|------|
|          |       | 1   | Person<br>Use is <i>REQUIRED</i> with NM101 code 17, 9K, 9P, 9S, AZ, and EY.             |   |    |      |
|          |       | 2   | Non-Person Entity<br>Use is <i>REQUIRED</i> with NM101 codes 1P, 20, 61, 75, 92, and K8. |   |    |      |
| NM103    | 1035  | Name Last or Organization Name<br>Individual last name or organizational name   |  | O | AN | 1/35 |
| NM104    | 1036  | Name First<br>Individual first name   |  | O | AN | 1/25 |
| NM105    | 1037  | Name Middle<br>Individual middle name or initial  |  | O | AN | 1/25 |
| NM106    | 1038  | Name Prefix<br>Prefix to individual name  |  | O | AN | 1/10 |
| NM107    | 1039  | Name Suffix<br>Suffix to individual name  |  | O | AN | 1/10 |
| NM108    | 66    | Identification Code Qualifier<br>Code designating the system/method of code structure used for Identification Code (67)<br>While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of |  | X | ID | 1/2  |

*other or additional numbers for a transition period in order to cross reference existing data bases.*

- |    |   |
|----|---|
| 1  | D-U-N-S Number, Dun & Bradstreet<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i>                     |
| 9  | D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> |
| 10 | Department of Defense Activity Address Code (DODAAC)<br><i>Use to indicate a DoD or Civilian Agency Activity Address.</i>                             |
| 33 | Commercial and Government Entity (CAGE)<br><i>Use to indicate the specified organization's CAGE code.</i>   |

NM109

67

**Identification Code****X AN 2/20**

Code identifying a party or other code

**Segment:** **N2** Additional Name Information  
**Position:** 350  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 2  
**Purpose:** To specify additional names or those longer than 35 characters in length  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>            | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|------------------------|-------------------|
| Must Use | N201                       | 93                            | Name<br>Free-form name | M AN 1/35         |
|          | N202                       | 93                            | Name<br>Free-form name | O AN 1/35         |

**Segment:** **N3** Address Information  
**Position:** 360  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 2  
**Purpose:** To specify the location of the named party  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:**

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>                                | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|--|-------------------|
| Must Use | N301                       | 166                           | Address Information<br>Address information | M AN 1/35         |
|          | N302                       | 166                           | Address Information<br>Address information | O AN 1/35         |



**Segment:** **N4** Geographic Location  
**Position:** 370  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To specify the geographic place of the named party  
**Syntax Notes:** 1 If N406 is present, then N405 is required.  
**Semantic Notes:**  
**Comments:** 1 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location.  
 2 N402 is required only if city name (N401) is in the U.S. or Canada.  
**Notes:** 1. When NM101 is code 61 and N901 in the 2/N9/400 segment is code RU, use of this segment is *REQUIRED* to identify the city, county, and state as specified in the Federal agency grant preparation instructions.  
 2. This segment is not necessary when the cited organization can be identified by a code value in NM108/09.

## Data Element Summary

| Ref.<br>Des. | Data<br>Element | Name  | Attributes |
|--------------|-----------------|---|------------|
| N401         | 19              | City Name<br>Free-form text for city name   | O AN 2/30  |
| N402         | 156             | State or Province Code<br>Code (Standard State/Province) as defined by appropriate government agency  | O ID 2/2   |
| N403         | 116             | Postal Code<br>Code defining international postal zone code excluding punctuation and blanks (zip code for United States)   | O ID 3/15  |
| N404         | 26              | Country Code<br>Code identifying the country<br><i>Use is REQUIRED when NM101 is code 20 and the organization is not identified by a qualified number in NM108/09.</i>  | O ID 2/3   |
| N405         | 309             | Location Qualifier<br>Code identifying type of location<br>CY County/Parish<br><i>When NM101 is code 61, use to indicate the county in which the project will be performed as specified in the Federal Agency grant application instructions.</i> | X ID 1/2   |
| N406         | 310             | Location Identifier<br>Code which identifies a specific location  | O AN 1/30  |

**Segment:** **PER** Administrative Communications Contact  
**Position:** 375  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify a person or office to whom administrative communications should be directed  
**Syntax Notes:**

- 1 If either PER03 or PER04 is present, then the other is required.
- 2 If either PER05 or PER06 is present, then the other is required.
- 3 If either PER07 or PER08 is present, then the other is required.

**Semantic Notes:**  
**Comments:**  
**Notes:** When NM101 code 9P or 9S, use is *REQUIRED* to provide communications numbers associated with the Principal Investigator and all Co-Investigators.

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes |
|----------------|-----------------|--|------------|
| Must Use PER01 | 366             | Contact Function Code<br>Code identifying the major duty or responsibility of the person or group named<br>IC Information Contact  | M ID 2/2   |
| Must Use PER03 | 365             | Communication Number Qualifier<br>Code identifying the type of communication number<br>1. Use to identify the preferred method of communication in the first occurrence. Use PER05/06 and PER07/08 to identify additional communications numbers.<br>2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.<br>EM Electronic Mail<br>FX Facsimile<br>Include area code and number.<br>IT International Telephone<br>Include country and city codes as needed.<br>TE Telephone<br>Include area code and number. | X ID 2/2   |
| Must Use PER04 | 364             | Communication Number<br>Complete communications number including country or area code when applicable  | X AN 1/80  |
| PER05          | 365             | Communication Number Qualifier<br>Code identifying the type of communication number<br>1. Use to identify an alternate, or secondary, communications number which can be used to contact the specified POC.<br>2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.<br>EM Electronic Mail<br>EX Telephone Extension<br>Use only if PER03 cites the code TE.  | X ID 2/2   |

FX Facsimile  
*Include area code and number.*

IT International Telephone  
*Include country and city codes as needed.*

TE Telephone  
*Include area code and number.*

**PER06 364 Communication Number X AN 1/80**

Complete communications number including country or area code when applicable

**PER07 365 Communication Number Qualifier X ID 2/2**

Code identifying the type of communication number

*1. Use to identify a third communications number.*

*2. All numbers, other than those associated with code EM, shall be transmitted as a continuous number with no extraneous characters.*

EM Electronic Mail

EX Telephone Extension  
*Use only if PER05 cites code TE.*

FX Facsimile  
*Include area code and number.*

IT International Telephone  
*Include country and city codes as needed.*

TE Telephone  
*Include area code and number.*

**PER08 364 Communication Number X AN 1/80**

Complete communications number including country or area code when applicable

**Segment:** **DMG** Demographic Information  
**Position:** 380  
**Loop:** LX  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To supply demographic information  
**Syntax Notes:** 1 If either DMG01 or DMG02 is present, then the other is required.  
**Semantic Notes:** 1 DMG02 is the date of birth.  
 2 DMG07 is the country of citizenship.  
 3 DMG09 is the age in years.  
**Comments:**  
**Notes:** When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop) and NM101 is code 9P or 9S, use is REQUIRED to provide the citizenship status of the Principal Investigator and any Co-investigators. It may optionally be used to provide other demographic information.

## Data Element Summary

| Ref.<br>Des. | Data<br>Element | Name  | Attributes |
|--------------|-----------------|---|------------|
| DMG03        | 1068            | Gender Code   | O ID 1/1   |
|              |                 | Code indicating the sex of the individual   |            |
|              |                 | F Female  |            |
|              |                 | M Male  |            |
| DMG05        | 1109            | Race or Ethnicity Code  | O ID 1/1   |
|              |                 | Code indicating the racial or ethnic background of a person; it is normally self-reported; Under certain circumstances this information is collected for United States Government statistical purposes                      |            |
|              |                 | A Asian or Pacific Islander   |            |
|              |                 | Use only for Asian. Use code P for Pacific Islander.  |            |
|              |                 | H Hispanic  |            |
|              |                 | I American Indian or Alaskan Native   |            |
|              |                 | N Black (Non-Hispanic)  |            |
|              |                 | O White (Non-Hispanic)  |            |
|              |                 | P Pacific Islander  |            |
| DMG06        | 1066            | Citizenship Status Code   | O ID 1/2   |
|              |                 | Code indicating citizenship status  |            |
|              |                 | When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop) and NM101 is code 9P or 9S, use is REQUIRED to provide citizenship status regarding the Principal Investigator and any Co-investigators. |            |
|              |                 | 1 U.S. Citizen  |            |
|              |                 | 2 Non-Resident Alien  |            |
|              |                 | 3 Resident Alien  |            |
|              |                 | Use to indicate the Principal Investigator or Co-investigator is not a US citizen but has been lawfully admitted to the US for permanent residence.   |            |

|                        |  |                            |
|------------------------|--|----------------------------|
| <b>Segment:</b>        | <b>EMS</b>   | <b>Employment Position</b> |
| <b>Position:</b>       | 390  |                            |
| <b>Loop:</b>           | LX   |                            |
| <b>Level:</b>          | Detail   |                            |
| <b>Usage:</b>          | Optional   |                            |
| <b>Max Use:</b>        | 1  |                            |
| <b>Purpose:</b>        | To describe employment position  |                            |
| <b>Syntax Notes:</b>   | 1 If either EMS05 or EMS06 is present, then the other is required.   |                            |
| <b>Semantic Notes:</b> | 1 EMS01 describes the employee's title or position in text.  |                            |
|                        | 2 EMS02 defines the employment position relationship.  |                            |
|                        | 3 EMS03 defines the occupation category.   |                            |
|                        | 4 EMS04 defines the status of employment.  |                            |
|                        | 5 EMS05 identifies EMS06 as pay grade.   |                            |
|                        | 6 EMS06 defines pay grade for employee, if available.  |                            |
| <b>Comments:</b>       |  |                            |
| <b>Notes:</b>          | 1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or IB (Previous Award loop) and NM101 is code 17, 9K, or EY, use of this segment is REQUIRED to identify the project role for the individual identified in NM103. |                            |
|                        | 2. When HL03 is code PC (Project loop), use, if applicable, to indicate that the Principal Investigator (code 9P) or Co-Investigator (9S) is handicapped.  |                            |

## Data Element Summary

| <b>Ref.</b>           | <b>Data</b>    | <b>Name</b>  | <b>Attributes</b> |
|-----------------------|----------------|--|-------------------|
| <b>Des.</b>           | <b>Element</b> | <b>Description</b>   | <b>M AN 1/80</b>  |
| <b>Must Use EMS01</b> | <b>352</b>     | <p>A free-form description to clarify the related data elements and their content</p> <p>1. When HL03 is code PC and NM101 is code 9P or 9S, cite the nature of the disability if the Principal Investigator or Co-Investigator is disabled and cite code DS in EMS04.</p> <p>2. When NM101 is code 17, 9K, or EY, identify the project role for the individual.</p> |                   |
| <b>EMS04</b>          | <b>584</b>     | <p><b>Employment Status Code</b></p> <p>Code showing the general employment status of an employee/claimant</p> <p>DS Disabled</p> <p>When HL03 is code PC (Project loop) and NM101 is code 9P, use to indicate that the Principal Investigator is disabled.</p>  | <b>O ID 2/2</b>   |



|                        |   |
|------------------------|---|
| <b>Segment:</b>        | <b>N9</b> Reference Identification  |
| <b>Position:</b>       | 400   |
| <b>Loop:</b>           | N9  |
| <b>Level:</b>          | Detail  |
| <b>Usage:</b>          | Optional  |
| <b>Max Use:</b>        | 1   |
| <b>Purpose:</b>        | To transmit identifying information as specified by the Reference Identification Qualifier  |
| <b>Syntax Notes:</b>   | 1 At least one of N902 or N903 is required.<br>2 If N906 is present, then N905 is required.<br>3 If either C04003 or C04004 is present, then the other is required.<br>4 If either C04005 or C04006 is present, then the other is required.                       |
| <b>Semantic Notes:</b> | 1 N906 reflects the time zone which the time reflects.<br>2 N907 contains data relating to the value cited in N902.   |
| <b>Comments:</b>       |   |
| <b>Notes:</b>          | 1. Use to identify references associated with the entity cited in NM101.<br><br>2. When HL03 is code OS (Other Support loop) and NM101 is code 92, use of this segment is <b>REQUIRED</b> to identify the award number (code CT) or application number (code BD). |

## Data Element Summary

| Ref.<br>Des.  | Data<br>Element | Name   | Attributes<br>M ID 2/3 |
|---------------|-----------------|--|------------------------|
| Must Use N901 | 128             | Reference Identification Qualifier<br>Code Qualifying the Reference Identification   |                        |
|               | 19              | Division Identifier<br><i>When NM101 is code 9K, 9P, or 9S, use to indicate the major subdivision name of the individual's organization. For example, School of Engineering or Adhesive Products Division. Cite the name in N903.</i>  |                        |
|               | 5C              | Congressional District<br><i>When NM101 is code 61, use to indicate the Congressional district in which the project is performed as specified in the Federal Agency grant application instructions. Use multiple iterations of this segment with code 5C if the work is performed in more than one Congressional district.</i>   |                        |
|               | 9F              | Referral Number<br><i>When NM101 is code 17, use to indicate the number of days for consultation.</i>  |                        |
|               | AH              | Agreement Number<br><i>When HL03 is code PC (Project loop) and NM101 is code K8, use to indicate whether the indirect rate is current or pending. If the rate is current, cite CURRENT in N903 and the date in N904. If the rate is pending, cite PENDING in N903.</i>   |                        |
|               | BD              | Bid Number<br><i>1. When HL03 is code OS (Other Support loop) , NM101 is code 92, and the Other Support is pending or planned, cite the supporting organization's application number in N902, when known. Use the 2/MTX/410 segment to identify the project title.</i><br><br><i>2. When the pending or planned support is for the same as this application, cite the word SAME in N903 and do not use codes KA or YV.</i> |                        |
|               | CT              | Contract Number<br><i>When HL03 is code OS (Other Support loop) , NM101</i>  |                        |

|    |   |
|----|---|
| DP | <p>is code 92, and the Other Support is active, cite the supporting organization's award number in N902. Use the 2/MTX/410 segment to identify the project title.</p> <p><b>Department Number</b></p> <p>When NM101 is code 9K, 9P, or 9S, use to indicate the department, service, laboratory, or equivalent level within the major subdivision name (code 19) of the individual's organization. For example, Department of Industrial Engineering or Sales Department. Cite the name in N903.</p>       |
| GE | <p><b>Geographic Number</b></p> <p>When NM101 is code 61, use to indicate a geographic location not otherwise identified. Cite the name of the location in N903 and, if required, provide the coordinates in N907. If needed, use N907-1 and N907-3 to pass longitude and latitude coordinates.</p>   |
| K5 | <p><b>Task Order</b></p> <p>When HL03 is code OS (Other Support loop), use to indicate the goals of the other project. Cite the word GOALS in N903 and use the following 2/MTX/410 segment to provide the description.</p>  |
| L4 | <p><b>Proposal Paragraph Number</b></p> <p>1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) and NM101 is code 9P, 9K, or 9S, use to indicate the Grant Application paragraph number that describes the text that will appear in the 2/MTX/410 segment associated with the individual identified in the NM1 segment. This includes the individual's published articles when specific Federal Agency instructions direct that they be provided in free-text form.</p> |
| P5 | <p><b>Position Code</b></p> <p>When NM101 is code 17, 9K or EY, use is REQUIRED to indicate the job title of the individual. Cite the title in N903.</p>  |
| P6 | <p><b>Pipeline Number</b></p> <p>When NM101 is code 61, use to indicate a pipeline designation. Provide the coordinates in N907. If needed, use N907-1 and N907-3 to pass longitude and latitude coordinates.</p>   |
| RC | <p><b>Rail Routing Code</b></p> <p>When NM101 is code 61, use to indicate a railway designation. When this code is used, the N4 segment is REQUIRED. Cite the owner of the railway in N903.</p>   |
| RU | <p><b>Route Number</b></p> <p>When NM101 is code 61, use to indicate a roadway designation, e.g., I-95, US Highway 1, State Route, 274. When this code is used, the N4 segment is REQUIRED. If needed, use N907-1 and N907-3 to pass mileage markers.</p>   |
| SY | <p><b>Social Security Number</b></p> <p>1. When HL03 is code PC (Project loop) and NM101 is code 9P or 9S, use to indicate the social security number of the Principal Investigator and any Co-Investigators.</p> <p>2. When HL03 is code IB (Previous Award loop) and NM101 is code 9K, 9P, 9S, or EY, use to indicate the social security number of the identified individual. Also</p>   |

|                 |               |             |   |  |
|-----------------|---------------|-------------|---|--|
|                 |               |             |   | use N903 to identify the level of effort and N904 to identify the date of birth.   |
|                 |               | YV          |   | <b>Participating Area</b>  |
|                 |               |             |   | Use only when HL03 is code OS (Other Support loop) to indicate the overlap between the other project and the project being proposed. Cite the word OVERLAP in N903 and use the following 2/MTX/410 segment to provide an explanation of the overlap. |
| <b>Must Use</b> | <b>N902</b>   | <b>127</b>  | <b>Reference Identification</b>   | <b>X AN 1/30</b>   |
|                 |               |             | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier   |  |
|                 |               |             | 1. When N901 is code BD and there is no unique identification number associated with the application, cite NONE.  |  |
|                 |               |             | 2. When N901 is code DP and NM101 is code 9K, 9P, or 9S, cite the school name, if applicable (for example, School of Engineering).  |  |
|                 |               |             | 3. When N901 is code L4, cite the applicable Grant Application paragraph number from the following list:  |  |
|                 |               |             | Para # Subject Area   |  |
|                 |               |             | D Biographical  |  |
|                 |               |             | D.1 Experience  |  |
|                 |               |             | D.2 Employment History  |  |
|                 |               |             | D.3 Honors  |  |
|                 |               |             | D.4 Memberships/Associations  |  |
|                 |               |             | D.5 Publications  |  |
|                 | <b>N903</b>   | <b>369</b>  | <b>Free-form Description</b>  | <b>X AN 1/45</b>   |
|                 |               |             | Free-form descriptive text  |  |
|                 |               |             | 1. When N901 is code SY, use to identify the level of effort in support of the previous award. Cite in terms of a percentage, e.g., 50% (1/2 time) as 50; 50.25 % as 50.25 (note: leading and trailing zeros are suppressed). |  |
|                 |               |             | 2. When N901 is code GE, use is REQUIRED to identify the geographic location.   |  |
|                 |               |             | 3. When N901 is code RC, use is REQUIRED to identify the owner of the railway.  |  |
|                 | <b>N904</b>   | <b>373</b>  | <b>Date</b>   | <b>O DT 6/6</b>  |
|                 |               |             | Date (YYMMDD)   |  |
|                 |               |             | 1. When HL03 is code IB (Previous Award loop) and N901 is code SY, use to indicate the individual's date of birth.  |  |
|                 |               |             | 2. When HL03 is code PC (Project loop), N901 is code AH and N903 cites CURRENT, use to indicate the date of the indirect rate agreement.  |  |
|                 | <b>N907</b>   | <b>C040</b> | <b>Reference Identifier</b>   | <b>O</b>   |
|                 |               |             | To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier   |  |
| <b>Must Use</b> | <b>C04001</b> | <b>128</b>  | <b>Reference Identification Qualifier</b>   | <b>M ID 2/3</b>  |
|                 |               |             | Code Qualifying the Reference Identification  |  |
|                 |               |             | 76 Milestone  |  |
|                 |               |             | When N901 is code RU, use to indicate the roadway milepost associated with the location cited in N4.  |  |
|                 |               |             | LK Longitude expressed in Degrees, Minutes and Seconds  |  |
|                 |               |             | When N901 is code GE or P6, use to indicate the longitude for the location.   |  |
| <b>Must Use</b> | <b>C04002</b> | <b>127</b>  | <b>Reference Identification</b>   | <b>M AN 1/30</b>   |

|        |     |   |   |    |      |
|--------|-----|---|---|----|------|
|        |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |   |    |      |
| C04003 | 128 | Reference Identification Qualifier  | X | ID | 2/3  |
|        |     | Code Qualifying the Reference Identification  |   |    |      |
|        |     | 76  |   |    |      |
|        |     | Milestone   |   |    |      |
|        |     | When N901 is code RU, use to indicate a second roadway milepost associated with the location cited in N4, if needed.        |   |    |      |
|        |     | LQ  |   |    |      |
|        |     | Latitude Expressed in Degrees, Minutes and Seconds  |   |    |      |
|        |     | When N901 is code GE or P6, use to indicate the latitude for the location.  |   |    |      |
| C04004 | 127 | Reference Identification  | X | AN | 1/30 |
|        |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |   |    |      |
| C04005 | 128 | Reference Identification Qualifier  | X | ID | 2/3  |
|        |     | Code Qualifying the Reference Identification  |   |    |      |
| C04006 | 127 | Reference Identification  | X | AN | 1/30 |
|        |     | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier |   |    |      |

**Segment:** **MTX** Text  
**Position:** 410  
**Loop:** N9  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To specify textual data  
**Syntax Notes:** 1 If MTX01 is present, then MTX02 is required.  
 2 If MTX03 is present, then MTX02 is required.  
**Semantic Notes:**  
**Comments:**  
**Notes:**

1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) and N901 is code L4, use to identify biographical data including experience, honors, and memberships/associations of the individual identified in the 2/NM1/340 segment.
2. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) and N901 is code CT or BD, use to provide the title of the Other Support Project.
3. When HL03 is code OS (Other Support loop) and N903 cites the word GOALS, use to indicate the goals of the other project.
4. When HL03 is code OS (Other Support loop) and N903 cites the word OVERLAP, use to explain the overlap between the other project and the project being proposed.

## Data Element Summary

|          | Ref.<br>Des. | Data<br>Element | Name                                      | <u>Attributes</u> |    |            |
|----------|--------------|-----------------|---|-------------------|----|------------|
| Must Use | MTX02        | 1551            | Message Text                              | X                 | AN | 1/409<br>6 |
|          |              |                 | To transmit large volumes of message text |                   |    |            |
|          | MTX03        | 1551            | Message Text                              | O                 | AN | 1/409<br>6 |
|          |              |                 | To transmit large volumes of message text |                   |    |            |



**Segment:** **DEG** Degree Record  
**Position:** 420  
**Loop:** DEG  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** 1  
**Purpose:** To provide the receiving institution or agency notice of academic awards made to the student whose record is being transmitted  
**Syntax Notes:** 1 If either DEG02 or DEG03 is present, then the other is required.  
**Semantic Notes:** 1 DEG02 and DEG03 refer to the date the degree was awarded.  
 2 DEG05 indicates the type of honors the student received with the degree.  
**Comments:**  
**Notes:** 1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or IB (Previous Award loop), and NM101 is code 9K, 9P, or 9S, use of this DEG loop is *REQUIRED* to identify the academic degree history of all Key Personnel.  
 2. Use multiple iterations as needed to identify all pertinent degrees.

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes |
|----------------|-----------------|--|------------|
| Must Use DEG01 | 1126            | <b>Academic Degree Code</b><br>Code indicating the level of postsecondary academic award earned by a student<br><i>Use one of the following degree codes:</i> <ul style="list-style-type: none"> <li>2.1 Postsecondary Certificate or diploma (less than one year)</li> <li>2.2 Postsecondary Certificate or diploma (one year or more but less than four years)</li> <li>2.3 Associate Degree (e.g., Associate in Science)</li> <li>2.4 Baccalaureate Degree</li> <li>2.5 Baccalaureate (Honors) Degree</li> <li>3.1 First Professional Degree</li> <li>3.2 Post-Professional Degree</li> <li>4.1 Graduate Certificate</li> <li>4.2 Master's Degree</li> <li>4.3 Intermediate Graduate Degree</li> <li>4.4 Doctoral Degree</li> <li>4.5 Post-Doctoral Degree</li> </ul> | M ID 3/3   |
| Must Use DEG02 | 1250            | <b>Date Time Period Format Qualifier</b><br>Code indicating the date format, time format, or date and time format<br>CM Date in Format CCYYMM<br><i>Use to indicate the century, year, and month in which the degree was awarded.</i>  | X ID 2/3   |
| Must Use DEG03 | 1251            | <b>Date Time Period</b><br>Expression of a date, a time, or range of dates, times or dates and times   | X AN 1/35  |
| DEG04          | 352             | <b>Description</b><br>A free-form description to clarify the related data elements and their content<br><i>Use to identify the type of degree (e.g., PHD, MD, DVM, JD, etc.) for the level of degree provided in DEG01.</i>  | O AN 1/80  |

**Segment:** **FOS** Field of Study  
**Position:** 430  
**Loop:** DEG  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To provide the receiving institution or agency with information about the field of study associated with the academic awards made to the student whose record is being transmitted  
**Syntax Notes:** 1 If either FOS02 or FOS03 is present, then the other is required.  
2 At least one of FOS02 or FOS04 is required.  
**Semantic Notes:** 1 FOS02 and FOS03 are the student's program of study.  
**Comments:**  
**Notes:** *Use of this FOS segment is REQUIRED in each 2/DEG/420 loop iteration to identify the field of study for which the degree was conferred.*

## Data Element Summary

| Ref.<br>Des.   | Data<br>Element | Name   | Attributes |
|----------------|-----------------|--|------------|
| Must Use FOS01 | 1153            | Academic Field of Study Level or Type Code<br>Code indicating the field of study being described for a student in an academic institution by indicating how it was used in the academic program<br>M Major   | M ID 1/1   |
| FOS02          | 66              | Identification Code Qualifier<br>Code designating the system/method of code structure used for Identification Code (67)<br>71 Integrated Postsecondary Education Data System (IPEDS) set of codes maintained by the U.S. Department of Education's National Center of Education Statistics, Washington, D.C.<br>CA Statistics Canada Canadian College Student Information System Course Codes<br>CC Statistics Canada University Student Information System Curriculum Codes | X ID 1/2   |
| FOS03          | 67              | Identification Code<br>Code identifying a party or other code  | X AN 2/20  |
| FOS04          | 352             | Description<br>A free-form description to clarify the related data elements and their content<br><i>Use to identify the broad area of study (e.g., Chemistry or Physics), if not specifically identified in FOS03.</i>   | X AN 1/80  |
| FOS05          | 352             | Description<br>A free-form description to clarify the related data elements and their content<br><i>Use to identify an area of specialization within the broad area.</i>   | O AN 1/80  |

**Segment:** **N1** Name  
**Position:** 440  
**Loop:** DEG  
**Level:** Detail  
**Usage:** Optional  
**Max Use:** >1  
**Purpose:** To identify a party by type of organization, name, and code  
**Syntax Notes:** 1 At least one of N102 or N103 is required.  
 2 If either N103 or N104 is present, then the other is required.  
**Semantic Notes:**  
**Comments:** 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party.  
 2 N105 and N106 further define the type of entity in N101.  
**Notes:** *Use of this N1 segment is REQUIRED in each 2/DEG/420 loop iteration to identify the institution of higher education which conferred the degree.*

## Data Element Summary

|          | Ref.<br>Des. | Data<br>Element | Name   | Attributes |
|----------|--------------|-----------------|--|------------|
| Must Use | N101         | 98              | <b>Entity Identifier Code</b><br>Code identifying an organizational entity, a physical location, or an individual<br>1R University, College or School  | M ID 2/2   |
|          | N102         | 93              | <b>Name</b><br>Free-form name<br><i>Use only if no coded means of identifying the educational institution is available.</i>  | X AN 1/35  |
|          | N103         | 66              | <b>Identification Code Qualifier</b><br>Code designating the system/method of code structure used for Identification Code (67)<br><i>While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i><br>1 D-U-N-S Number, Dun & Bradstreet<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i><br>9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix<br><i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i><br>10 Department of Defense Activity Address Code (DODAAC)<br><i>Use to indicate a DoD or Civilian Agency Activity Address.</i><br>33 Commercial and Government Entity (CAGE)<br><i>Use to indicate the specified organization's CAGE code.</i> | X ID 1/2   |
|          | N104         | 67              | <b>Identification Code</b><br>Code identifying a party or other code   | X AN 2/20  |

**Segment:** **SE** Transaction Set Trailer  
**Position:** 480  
**Loop:**  
**Level:** Detail  
**Usage:** Mandatory  
**Max Use:** 1  
**Purpose:** To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)  
**Syntax Notes:**  
**Semantic Notes:**  
**Comments:** 1 SE is the last segment of each transaction set.

## Data Element Summary

|          | <u>Ref.</u><br><u>Des.</u> | <u>Data</u><br><u>Element</u> | <u>Name</u>   | <u>Attributes</u> |
|----------|----------------------------|-------------------------------|---|-------------------|
| Must Use | SE01                       | 96                            | <b>Number of Included Segments</b><br>Total number of segments included in a transaction set including ST and SE segments   | <b>M N0 1/10</b>  |
| Must Use | SE02                       | 329                           | <b>Transaction Set Control Number</b><br>Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set<br><i>Cite the same number as appears in ST02.</i> | <b>M AN 4/9</b>   |









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